

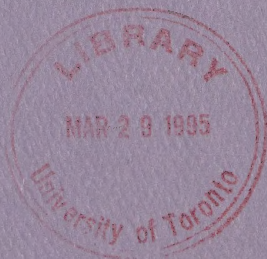
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1993-94

Ontario
Council on
University
Affairs

Twentieth
Annual
Report




Ontario Council on University Affairs

Twentieth Annual Report March 1, 1993 to March 31, 1994

700 Bay Street
Seventh Floor
Toronto, Ontario
M5G 1Z6

Telephone: (416) 314-6969

December, 1994



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SUMMARY: LETTER OF TRANSMITTAL

Ontario Council
on University Affairs

Conseil Ontarien
des Affaires Universitaires

700 Bay Street 7th Floor
Toronto ON M5G 1Z6
(416) 314-6969
Facsimile (416) 314-6982

700 rue Bay 7^e étage
Toronto ON M5G 1Z6
(416) 314-6969
Télécopieur (416) 314-6982

January 3, 1995

The Honourable Dave Cooke
Minister of Education and Training
22nd Floor, Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2

Dear Mr. Cooke:

I am pleased to be able to transmit herewith the Twentieth Annual Report of the Ontario Council on University Affairs for the year 1993-94. This Report contains all the advice submitted by the Council and their response.

The year 1993-94 was one of significant change for the government, the Council and the university system in Ontario. Because of the social, cultural, economic and fiscal challenges facing governments in most of the developing world, government funding for public sector institutions, including the universities, had to undergo a greater level of restraint than had been experienced in this jurisdiction for many years. Governments, in this and other jurisdictions, called upon all parts of the public sector to restrain expenditures by seeking greater efficiencies in the way they do business. The Government of Ontario took a number of major initiatives. Two of them were directed at the public sector as a whole - the Social Contract and an Expenditure Control Program. Restructuring initiatives were also undertaken in many parts of the public sector. In the university sector, a University Restructuring Steering Committee was established. The Chair of OCUA, together with the Deputy Minister responsible for universities, co-chaired this Committee. The underlying premise for the establishment of URSC by the Ministry was a limit on public sector funding. This premise proved to be very controversial and in 1994 the work of the Committee was suspended.

Council's major responsibilities associated with these developments were preparing advice in response to Ministerial references on how best to apportion reductions in

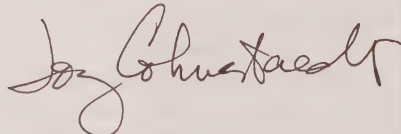
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provincial operating grants among the institutions, and how to effect a special reduction of \$58.5 million in the provincial operating grants associated with the government's decision to make enrolments in courses in Additional Qualifications for Teachers ineligible for funding. The third and fourth major accomplishments were the completion of advice on Academic Quality Reviews, in response to the Minister's reference, as well as the advice on the Distribution Mechanism for Enhanced Accessibility for Students with Disabilities.

Because of constraints to which institutions and others were adjusting, Council did not hold traditional public hearings in various communities around the province. Instead, all institutions were invited to respond in writing and to attend a one-day consultation to be held on November 6, 1993. The purpose of the meeting was to discuss the most appropriate way to remove the \$58.5 million associated with the Additional Qualifications for Teachers.

Mr. Minister, I wish at this point to make a number of acknowledgements. Firstly, I was very pleased that the Lieutenant Governor in Council agreed with one of the recommendations in the 1989 Sunset Review of Council - that a Vice-Chair be appointed - and that one of Council's members, Dr. Gary Warner, was appointed to that position. Secondly, I want to acknowledge the members who completed their terms with the Council and to thank them for their contributions. These members were: Dr. Harriet Lyons, Mr. Colin Graham, Mr. William Broadhurst and Dr. Suzanne Fortier. Lastly, I would also like to thank the Council's excellent staff for their support.

Yours sincerely,

A handwritten signature in dark ink, appearing to read "Joy Cohnstaedt". The signature is fluid and cursive, with the first name "Joy" written in a larger, more prominent script than the last name.

Joy Cohnstaedt,
Chair

MEMBERS AND OFFICERS OF THE ONTARIO COUNCIL ON UNIVERSITY AFFAIRS, 1993-94

Dr. Hashim Ahmed
(1995) Mississauga

Dr. George Bancroft
(1995) Willowdale

Mr. Alan Broadbent
(1996) Toronto

Ms. Moira Burke
(1996) London

Professor Joy Cohnstaedt
(1995) Toronto
Chair

Dr. Suzanne Fortier
(1994) Kingston

Mrs. Evelyn Ruth Ham
(1995) Sudbury

Mr. Tim Jackson
(1997) Toronto

Dr. Judith Knelman
(1995) London

Mr. Patrick Lawlor *
(1994) Toronto

Mr. Gilbert Levine
(1995) Ottawa

Dr. Lino Magagna
(1996) Windsor

Dr. John Meyer
(1995) Windsor

Dr. Connie Nelson
(1996) Thunder Bay

Mr. William Owen
(1997) Toronto

Ms. Kate Thorne
(1996) Ottawa

Dr. Jill Vickers
(1997) Ottawa

Dr. Gary Warner
(1997) Hamilton

Rodger Cummins
Senior Policy Advisor
to the Chair

Lisa Feldman
Research Assistant

Diana Royce
Research Officer

Marny Scully
Research Officer

Paul Stenton
Manager, Research and
Policy Analysis

Anna Uppal
Research Officer

*(Members' terms expire on last day of February
of the year indicated in parentheses)*

** Patrick Lawlor died on March 28, 1993.*

MEMBERS OF THE ACADEMIC ADVISORY COMMITTEE, 1993-94

Malcolm Bibby
(March 31, 1995) Ottawa

Trudy Bunting *
(March 31, 1995) Kitchener

Peter E. Egelstaff
(May 31, 1995) Waterloo

Jean-Louis Major
(September 30, 1993) St. Isidore de Prescott
Chairman until September 13, 1993

Sandra Olney
(July 31, 1997) Kingston
Chair from September 13, 1993

Joseph David Shorthouse
(March 31, 1995) Sudbury

Carolyn J. Tuohy
(July 31, 1997) Toronto

* Resigned on December 3, 1993

INTRODUCTION

INTRODUCTION

The Twentieth Annual Report of the Ontario Council on University Affairs covers the period of March 1, 1993 to March 31, 1994, and contains the full text of all Advisory Memoranda issued during the year. The report also contains a list of Council's public meetings for the year and the responses of the Government to the recommendations made by Council.

COUNCIL'S ADVISORY MEMORANDA

93-1 Graduate Program Funding 1993-94

1.0 Introduction

In this Memorandum, the Ontario Council on University Affairs continues the practice of submitting annual advice on the funding eligibility of new and existing graduate programs, as initiated in Advisory Memorandum 83-VIII.

The graduate program funding approval process was developed to achieve Council's objectives for the graduate enterprise in Ontario¹ and to achieve Council's system-wide goals of institutional role differentiation and system rationalization. Council bases its annual funding advice for new programs on the four criteria contained in Advisory Memorandum 89-V² and the information points noted in Advisory Memorandum 92-V.³ Briefly, each program must have passed a rigorous academic appraisal, as certified by the Council of Ontario Universities, without requiring any improvement; the university must demonstrate a societal need and student demand for the program; the program must be consistent with the aims, objectives and existing strengths of the institution offering it and be included in the institution's five-year graduate plan; and Council must deem the program to be an appropriate development within the Ontario university system.

With respect to bilingual and French-language programs, Council also has the benefit of advice from the Advisory Committee on Francophone Affairs (ACFA) regarding the extent to which programs proposed for funding eligibility meet the needs of the Francophone community in Ontario.⁴

With respect to existing programs, Council relies upon the Council of Ontario Universities' identification of programs of good quality through the periodic appraisal process conducted by the Ontario Council on Graduate Studies. Council will recommend that funding eligibility be withdrawn from any programs identified to be of unacceptable quality through this process.

Council continues the practice of recommending a weight for each graduate level-one program. All graduate level-two programs, as outlined in The Ontario Operating Funds Distribution Manual, will be in Category 8 with a weight of 6, or 2 per term.

2.0 Graduate Programs Considered for Funding Eligibility

Council has reviewed the advice of the Academic Advisory Committee and, where appropriate, the Advisory Committee on Francophone Affairs, regarding the funding eligibility of the following 21 graduate programs:

Brock University

Master of Arts in Psychology (MA) - See Appendix A

Carleton University

Master of Arts in Communication (MA) - See Appendix B

-
1. See Ontario Council on University Affairs, Sixteenth Annual Report, "Advisory Memorandum 89-V: Graduate Program Planning and Funding in the Third Quinquennium, 1989-90 to 1993-94", p. 157.
 2. Ibid., pp. 161-162.
 3. See Ontario Council on University Affairs, Advisory Memorandum 92-V: Program Approvals, June 19, 1992.
 4. See Advisory Committee on Francophone Affairs, Mémoire consultatif 92.5, August 11, 1992.

Master of Arts in Legal Studies (MA) - See Appendix C
Master of Arts in Political Economy (MA) - See Appendix D

University of Guelph

Master of Science in Aquaculture (MSc) - See Appendix E
Master of Management Studies in Hospitality Management (MMS) - See Appendix F
Master of Fine Arts in Studio Art (MFA) - See Appendix G

Lakehead University

Master of Forestry (MF) - See Appendix H

University of Ottawa

International Master of Business Administration (IMBA) - See Appendices I and J
Master of Science in Nursing (MScN) - See Appendices K and L
Maîtrise en Sciences de la Santé en Audiologie et Orthophonie (MScS) [Orthophonie joint with Laurentian University] - See Appendices M and N
Maîtrise en Service Social (MSS) - See Appendices O and P

University of Toronto

Doctor of Philosophy in Nursing Science (PhD) - See Appendix Q

Trent University

Master of Arts/Master of Science in Applications of Modelling in the Natural and Social Sciences (MA/MSc) - See Appendix R
Master of Arts in Methodologies for the Study of Western History and Culture (MA) - See Appendix S

University of Waterloo

Master of Arts in Gerontology (MA) - See Appendix T
Master of Arts in Religious Studies (MA) - See Appendix U

Wilfrid Laurier University

Master of Arts in Business Economics (MA) - See Appendix V

University of Windsor

Master of Science in Computer Science (MSc) - See Appendix W

York University

Doctor of Philosophy in Ethnomusicology/Musicology (PhD) - See Appendix X
Master of Arts in French Studies (MA) - See Appendices Y and Z

3.0 Recommendations

The evidence provided in the appended reports of the Academic Advisory Committee and, where appropriate, the Advisory Committee on Francophone Affairs, satisfies Council that each program recommended for approval has met the requirements of an academic appraisal conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, was not found to require improvements; has exhibited convincing evidence of societal need and student demand; has demonstrated consistency with the aims, objectives and existing strengths of the institution in which it has been proposed; and has been included in the institutional five-year graduate plan registered annually with the Council.

Council also accepts the advice of the Academic Advisory Committee and, where appropriate, the Advisory Committee on Francophone Affairs, regarding the three programs which were not recommended for funding eligibility (Master of Arts in Gerontology and Master of Arts in Religious Studies at the University of Waterloo; and Master of Arts in French Studies at York University [Glendon College]). Council is satisfied that these programs do not meet all of the criteria for funding eligibility and, therefore, cannot be recommended to the Minister for funding eligibility.

With regard to the Master of Arts program in Gerontology at the University of Waterloo, Council is not prepared to consider this program, for funding eligibility, until such time as it has been assured by the Ontario Council on Graduate Studies that the program is of "Good Quality" and that no improvements are required in the program for the duration of the next cycle of quality appraisals.

Council supports the Academic Advisory Committee's suggestion that the University of Waterloo and Wilfrid Laurier University should strive to establish a joint program in Religious Studies at the Master's level in order to take advantage of the unique teaching and research strengths within Religious Studies which exist at the University of Waterloo, without entailing extensive duplication of the existing program at Wilfrid Laurier University.

In view of the fact that both the Academic Advisory Committee and the Advisory Committee on Francophone Affairs indicated that the proposed Master of Arts program in French Studies at York University (Glendon College) was not substantially different from existing programs, and that enrolment in this kind of program on a provincial level was declining, Council accepts that this program should not be deemed eligible for funding. Council does, however, encourage the institutions with existing programs to undertake further consultation over the possibility of meeting the part-time student demand identified for such programs, should it be warranted by actual student demand, by means of on-site courses, distance-education courses or some other means and in which faculty of York University might participate.

Council itself reviewed each program recommended for funding by the Academic Advisory Committee against the requirements of the fourth criterion: "That the program is deemed by Council to be an appropriate development within the Ontario university system".⁵ In doing so, Council assessed the programs proposed for funding eligibility against broader policies, including funding policies and other initiatives pertaining to the university system. Institutions must indicate the impact that the program proposed for funding eligibility will have on its corridor plan and how the program will be financed and staffed. Additional costs must be identified as well as the manner in which these costs will be covered. The impact on other programs within the institution must be noted, and cost savings, if any, must be identified.⁶

With two exceptions (Maîtrise en Sciences de la Santé en Audiologie et Orthophonie (MScS) [Orthophonie joint with Laurentian University] and Maîtrise en Service Social (MSS), both offered by the University of Ottawa), Council has satisfied itself that each of the programs recommended by the Academic Advisory Committee represents an appropriate development within the Ontario university system.

With respect to the Maîtrise en Sciences de la Santé en Audiologie et Orthophonie (MScS) [Orthophonie joint with Laurentian University] and the Maîtrise en Service Social (MSS), Council notes that both programs require additional funding in order to be financially viable. The University of Ottawa has indicated that the necessary support is expected to be forthcoming from funds to be recommended by the Advisory Committee on Francophone Affairs and from

5. Ontario Council on University Affairs, Program Procedures Manual, 92 08 14, p. 2.1.1.

6. Ibid., pp. 2.1.4 and 2.1.5.

possible reallocation of internal funds, if required. As a result, Council is prepared to recommend that these two programs become eligible for funding **conditional** upon the institutions (the University of Ottawa and Laurentian University) demonstrating to the Ministry of Education and Training that they have, in hand, the resources necessary to mount the programs and to maintain them over a reasonable period of time.

Accordingly, Council *recommends to the Minister:*

OCUA 93-1

*ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN
PSYCHOLOGY AT BROCK UNIVERSITY FOR FUNDING PURPOSES IN 1993-
94*

THAT enrolment in the Master of Arts program in Psychology at Brock University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 7, with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-2

*ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN
COMMUNICATION AT CARLETON UNIVERSITY FOR FUNDING PURPOSES
IN 1993-94*

THAT enrolment in the Master of Arts program in Communication at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-3

*ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN
LEGAL STUDIES AT CARLETON UNIVERSITY FOR FUNDING PURPOSES IN
1993-94*

THAT enrolment in the Master of Arts program in Legal Studies at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-4

*ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN
POLITICAL ECONOMY AT CARLETON UNIVERSITY FOR FUNDING
PURPOSES IN 1993-94*

THAT enrolment in the Master of Arts program in Political Economy at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-5

ELIGIBILITY OF ENROLMENT IN THE MASTER OF SCIENCE PROGRAM IN AQUACULTURE AT THE UNIVERSITY OF GUELPH FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Science program in Aquaculture at the University of Guelph be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 7, with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-6

ELIGIBILITY OF ENROLMENT IN THE MASTER OF MANAGEMENT STUDIES PROGRAM IN HOSPITALITY MANAGEMENT AT THE UNIVERSITY OF GUELPH FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Management Studies program in Hospitality Management at the University of Guelph be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-7

ELIGIBILITY OF ENROLMENT IN THE MASTER OF FINE ARTS PROGRAM IN STUDIO ART AT THE UNIVERSITY OF GUELPH FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Fine Arts program in Studio Art at the University of Guelph be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-8

ELIGIBILITY OF ENROLMENT IN THE MASTER OF FORESTRY PROGRAM AT LAKEHEAD UNIVERSITY FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Forestry program at Lakehead University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 7, with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-9

ELIGIBILITY OF ENROLMENT IN THE INTERNATIONAL MASTER OF BUSINESS ADMINISTRATION PROGRAM AT THE UNIVERSITY OF OTTAWA FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the International Master of Business Administration program at the University of Ottawa be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-10

ELIGIBILITY OF ENROLMENT IN MASTER OF SCIENCE PROGRAM IN NURSING AT THE UNIVERSITY OF OTTAWA FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Science program in Nursing at the University of Ottawa be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 7, with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-11

ELIGIBILITY OF ENROLMENT IN THE MAITRISE EN SCIENCES DE LA SANTE PROGRAMS IN AUDIOLOGIE ET ORTHOPHONIE AT THE UNIVERSITY OF OTTAWA (ORTHOPHONIE JOINT WITH LAURENTIAN UNIVERSITY) FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Maîtrise en Sciences de la Santé programs in Audiologie et Orthophonie at the University of Ottawa (Orthophonie joint with Laurentian University) be counted as eligible BIUs, for funding purposes, beginning in 1993-94 **conditional** upon the Universities satisfying the Ministry of Education and Training that they have secured the necessary resources to develop and ensure the long-term financial viability of the programs - the programs to be in Category 7, with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-12

ELIGIBILITY OF ENROLMENT IN THE MAITRISE EN SERVICE SOCIAL PROGRAM AT THE UNIVERSITY OF OTTAWA FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Maîtrise en Service Social program at the University of Ottawa be counted as eligible BIUs, for funding purposes, beginning in 1993-94 **conditional** upon the University satisfying the Ministry of Education and Training that it has secured the necessary resources to develop and ensure the long-term financial viability of the program - the program to be in Category 7, with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-13

ELIGIBILITY OF ENROLMENT IN THE DOCTOR OF PHILOSOPHY PROGRAM IN NURSING SCIENCE AT THE UNIVERSITY OF TORONTO FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Doctor of Philosophy program in Nursing Science at the University of Toronto be counted as eligible BIUs, for funding purposes beginning in 1993-94.

OCUA 93-14

ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS/MASTER OF SCIENCE PROGRAM IN APPLICATIONS OF MODELLING IN THE NATURAL AND SOCIAL SCIENCES AT TRENT UNIVERSITY FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Arts/Master of Science program in Applications of Modelling in the Natural and Social Sciences at Trent University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-15

ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN METHODOLOGIES FOR THE STUDY OF WESTERN HISTORY AND CULTURE AT TRENT UNIVERSITY FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Arts program in Methodologies for the Study of Western History and Culture at Trent University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-16

ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN GERONTOLOGY AT THE UNIVERSITY OF WATERLOO FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Arts program in Gerontology at the University of Waterloo **NOT** be counted as eligible BIUs, for funding purposes.

OCUA 93-17

ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN RELIGIOUS STUDIES AT THE UNIVERSITY OF WATERLOO FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Arts program in Religious Studies at the University of Waterloo **NOT** be counted as eligible BIUs, for funding purposes.

OCUA 93-18

ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN BUSINESS ECONOMICS AT WILFRID LAURIER UNIVERSITY FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Arts program in Business Economics at Wilfrid Laurier University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 6, with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-19

ELIGIBILITY OF ENROLMENT IN THE MASTER OF SCIENCE PROGRAM IN COMPUTER SCIENCE AT THE UNIVERSITY OF WINDSOR FOR FUNDING PURPOSES IN 1993-94

THAT enrolment in the Master of Science program in Computer Science at the University of Windsor be counted as eligible BIUs, for funding purposes, beginning

in 1993-94 - the program to be in Category 6 with a weight of 3 or 1 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-20

*ELIGIBILITY OF ENROLMENT IN THE DOCTOR OF PHILOSOPHY PROGRAM
IN ETHNOMUSICOLOGY/MUSICOLOGY AT YORK UNIVERSITY FOR
FUNDING PURPOSES IN 1993-94*

THAT enrolment in the Doctor of Philosophy program in Ethnomusicology/Musicology at York University be counted as eligible BIUs, for funding purposes beginning in 1993-94.

OCUA 93-21

*ELIGIBILITY OF ENROLMENT IN THE MASTER OF ARTS PROGRAM IN
FRENCH STUDIES AT YORK UNIVERSITY FOR FUNDING PURPOSES IN
1993-94*

THAT enrolment in the Master of Arts program in French Studies at York University **NOT** be counted as eligible BIUs, for funding purposes.

4.0 Existing Graduate Programs

Council has reviewed the Council of Ontario Universities/Ontario Council on Graduate Studies annual Report to the Ontario Council on University Affairs on Appraisal Results: 1991-92. This report indicates that no programs were placed in the NOT APPROVED category as a result of the quality appraisal process in 1991-92.

Joy Cohnstaedt,
Chair

March 26, 1993

Appendix A

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Psychology (MA)
Brock University**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, Brock University requested that Council consider its new Master of Arts (MA) program in Psychology for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 16, 1992.

2. Societal Need and Student Demand

The purpose of the proposed one-year MA program in Psychology is to provide an opportunity for intensive research training in the fields of behavioural neuroscience, life-span development and social/personality psychology, and to enhance access to these advanced fields of study for professionals in the Niagara region, who work in applied research or service settings, and whose responsibilities prevent them from undertaking full-time study outside the region.¹

The Committee notes that although a PhD degree is required to engage in independent practice as a psychologist in Ontario, Brock University has indicated that for many positions requiring knowledge of the principles of scientific psychology, an understanding of systems, and experience with experimental design and data analysis, a PhD-level psychologist would be overqualified and too expensive. Evidence that Master's program graduates fill a distinct niche was provided by individuals from within the University community, as well as potential employers. For example, the Chair of the Department of Psychology at the University of Victoria indicated that

...there is a demand on the part of both students and various organizations such as governments, hospitals, and community service agencies for graduates with training at the M.A. level. As the needs of special populations, such as the elderly or those suffering from Alzheimer's disease continues to grow, so will the demand for

1. Brock University, Request to the Ontario Council on University Affairs for Formula Funding, October, 1992, p. 1.

individuals trained in applied aspects of psychology. Our own program, focused on research training at the Ph.D. level cannot meet this demand.²

A number of regional and provincial employers indicated a significant need and projected increase in demand for program graduates, including the Niagara District Health Council, St. Catharines and District Canadian Mental Health Association, Regional Niagara Health Services Department, Distress Centre of St. Catharines and District, Niagara Centre for Youth Care, Niagara Child Development Centre, The Toronto Hospital, and the Welland County General Hospital. Many of these potential employers also indicated that the program would be of interest to their existing personnel in terms of professional development, since many employees have an interest in graduate training but, for practical reasons, have been unable to leave the region.

More specifically, a number of organizations cited a need for such graduates to support the planned expansion of services for individuals with specific disabilities, such as the effects of traumatic brain injury. For example, the Director of Psychological Services at the Hugh McMillan Rehabilitation Centre, noted that:

There is a rapidly escalating need within this field for people with a Master's Degree in Psychology to both act as a case coordinator for families of individuals who have had traumatic brain injury as well as to implement on a daily and hourly basis a program of behavioural and cognitive retraining and management which has been designed by a behavioural and neuropsychological psychologist in community settings. We would be in a much improved position to enable families to keep their loved ones in the home setting if we had well qualified case coordinators and rehabilitation managers to support these families. The best trained individual to fill these positions would be an individual who has successfully completed a Master of Arts program in Psychology.³

Confirming this area of particular need was a letter from the Ontario Head Injury Association (OHIA) which indicated that:

Recent announcements by the Ministries of Health and Community and Social Services and the Long Term Care Division of 8.8 million dollars in 1990 and 9.68 million dollars in 1992 for new services for persons with acquired brain injury attest to the growth of programs and services in this area.⁴

It was also indicated that

...the M.A. Psych. program at Brock University could provide advanced learning opportunities to several staff members currently employed at OHIA and to staff members of some of our 32 local community associations. As well, graduates of this M.A. program would be desirable to hospitals providing rehabilitation, to community re-entry services, to home care funded programs, to rehabilitation case

2. Letter from Dr. David F. Hultsch, Lansdowne Professor and Chair of the Department, Department of Psychology, University of Victoria, to Dr. S. Segalowitz, Department of Psychology, Brock University, October 19, 1992.

3. Letter from Ms. Jane I. Staub, MA, CPsych. Director of Psychological Services, the Hugh MacMillan Rehabilitation Centre, to Dr. L. Rose-Krasnor, Psychology Department, Brock University, October 23, 1992.

4. Letter from Mr. Bill Roberts, Ontario Head Injury Association, to Dr. L. Rose-Krasnor, Chair, Psychology Department, Brock University, October 20, 1992.

management corporations and residential programs in development throughout the province.⁵

Brock University also provided the Academic Advisory Committee with numerous examples of advertised job opportunities for which graduates would be qualified, including research/analyst positions within the public and private sectors, project managers, health promotion co-ordinators, consultants and a variety of other positions within health care settings.⁶

As evidenced by letters from a variety of universities, graduates would also be well positioned to continue their studies at the Doctoral level at a variety of research institutions in North America. For example, the Psychology Department at the University of Alberta indicated that:

From the perspective of our own graduate program the M.A. degree in Psychology at Brock would be a welcome addition to Canadian graduate studies. For a number of reasons, our department has recently decided to limit admission to those in the Ph.D. programme, which effectively terminates any M.A. programme as such. A student with a strong M.A. degree from an institution such as Brock University would have an advantage over many of those proceeding directly from the B.A. degree. Not only would the person have a solid foundation in formal course work and experience in a thesis research project, but the student would also have been tested in a relevant setting where success would be predictive of continued good work in the research-based Ph.D. programme at the University of Alberta.⁷

Similar sentiments were expressly noted by representatives of the University of Victoria, the University of Ottawa and the University of Montreal. Interest in the graduates of the proposed program, as a result of the particular fields of study to be offered at Brock University, was indicated from as far away as the University of Texas, Southwestern Medical Centre, whose Director stated:

I personally feel that the M.A. program produces a training ground for better quality Ph.D. students. Certainly, the preference in my own laboratory is to recruit students for our program that have completed an M.A. Since there are so few Sleep Laboratories associated with graduate departments, and in particular, M.A. programs, this will be a considerable enticement for students in your own area. Please be sure to advise graduating M.A. students with an interest in Sleep Research, that we offer a Ph.D. in Clinical Psychology, Physiology and Neuroscience at UT Southwestern.⁸

Students consulted about the proposed program further verified the societal need for its establishment. The following example highlights the issues relevant from the student perspective:

5. Ibid.

6. Brock University, See Appendix E.

7. Letter from Dr. Douglas Wahlsten, Professor, Department of Psychology, University of Alberta, to Dr. S. Sadava, Chair of the Graduate Committee, Department of Psychology, Brock University, October 20, 1992.

8. Letter from Dr. Roseanne Armitage Director - Sleep Study Unit, Department of Psychiatry, Southwestern Medical Center at Dallas, the University of Texas, to Dr. R. Ogilvie, Department of Psychology, Brock University, October 24, 1992.

Your Masters program would provide an important option for students graduating from the Bachelors of Arts level. Currently, in Southern Ontario most graduate programs are Ph.D. streams which involve a 4 to 5 year post-graduate commitment. There do not exist enough Masters level programs to provide students with added training beyond the undergraduate level that does not require a commitment to an academic career in psychology. A Masters level program would allow students to receive enough additional training to work in applied psychological settings. Such a program would not only benefit prospective students but also the community at large.

Furthermore, the Psychology Department at Brock University has superior facilities and faculty to support such a program. As a graduate student enroled at the University of Waterloo I travel to Brock University in order to receive extended training in human neuropsychology. From both an experimental and clinical perspective, the faculty have extensive connections and collaborations with community based facilities as well as within the academic community. These connections and opportunities have been invaluable to myself and I feel they would equally enhance other students' education within a Masters level program.⁹

The Academic Advisory Committee noted, with some concern, that there were 11 other MA programs in Psychology identified in the 1991-92 Graduate Macroindicator Data prepared by the Ontario Council on Graduate Studies. Nine of these programs offer Doctoral degrees and two (offered at Wilfrid Laurier University and Lakehead University) are "Master's only" programs as is the proposed program at Brock University. The Committee noted that the general practice among institutions offering Doctoral degrees was not to admit students whose declared interest was in the Master's degree only. In general, all students entering from the undergraduate level are registered as Master's students but are normally promoted to PhD studies without having completed the degree. In addition, the Ontario universities with Doctoral programs indicated that the proposed program was different from their programs and/or did not anticipate much, if any, impact on enrolments in their programs.¹⁰ None of the existing programs encouraged/admitted part-time students.

When compared to the two existing MA-only programs offered at Lakehead University and Wilfrid Laurier University, the Committee noted that the MA Psychology program proposed by Brock University offered areas of specialization which differed from the fields of study offered by the existing programs. Given the emphasis on meeting the need for part-time study, the Committee also noted that these two programs would not be readily accessible to potential students studying part-time from the Niagara region.

Brock University noted that, in addition to the part-time study format, the strong tradition of collaborative research within the Psychology Department and the program's focus on the applied relevance of basic research, there were unique aspects not duplicated by existing programs.¹¹

9. Letter from Ms. Diana Velikonja, Graduate Student, Department of Psychology, University of Waterloo, to Dr. L. Rose-Krasnor, Brock University, October 21, 1992.

10. *Ibid.*, See Appendix F "Response from Department Chairs and Professional Colleagues".

11. *Ibid.*, pp. 10 - 12.

Evidence provided by other Ontario universities also indicated that there was significant unmet student demand in the area of Master's programs in Psychology.¹²

Brock University indicates that at the steady-state it intends to admit 10 to 12 students distributed evenly among the three fields of specialization (behavioural neuroscience, life-span development and social/personality psychology). With respect to the part-time component of the program, Brock University states:

We expect that approximately half of our students will be part-time over the next five years. During the development of the program, we found strong interest in the community for the possibility of part-time M.A. studies in psychology and we expect many excellent applicants for part-time studies. Brock has extensive experience in dealing effectively with part-time students, both at the undergraduate level and in the Master of Education program. Gearing programs to part-time students is part of the Brock tradition and allows us to serve local community needs better than we can with only full-time students.¹³

The first cohort of students will be admitted in the Fall of 1993. A steady-state total enrolment level of 28 to 30 students is projected to be achieved by 1998.

Approximately half of the students admitted to the program are expected to be recent graduates of BA Honours Psychology programs. Brock University indicates that there are over 10,000 such graduates per year in Ontario alone, and approximately 20,000 annually Canada-wide. The remainder will be composed of individuals currently employed in the Niagara Region in the careers of teaching, educational administration, behavioural management, as child care workers, laboratory technicians or research assistants, within the private and public sectors, who wish to engage in professional development.

Brock University notes that data provided by the Canadian Psychological Association indicate that the acceptance rate into Psychology graduate programs in Ontario ranges from 6% to 24%, with an average acceptance rate of 16%.¹⁴ Citing the Ontario Council on Graduate Studies (OCGS) report on Psychology in Ontario, Brock University notes that in Ontario, access to MA-level programs is more severely limited than elsewhere in Canada due to the "crowding out" of Masters students by Doctoral students in the discipline. Brock University indicates that Master's student enrolments have been curtailed in order to accommodate the significant increase in the demand for places in Doctoral programs in Ontario universities. As previously noted, Ontario universities have tended to select students on the basis of their intention to go on to the PhD level, which has in turn reduced the opportunity for students seeking the MA degree. Further, Brock University indicates that there are almost twice as many PhD students in Psychology in Ontario as MA students, compared to a 1:1 ratio in the rest of Canada. It was also noted that despite an increase in the number of PhD places during the 1980s, there occurred an 11% decrease in the number of MA places in Ontario, compared to an 11% increase in MA places Canada-wide.¹⁵ Brock University concludes that "...there are many students in Ontario

12. *Ibid.*, Appendix F.

13. Brock University, Response to OCUA Request for Additional Information, November 18, 1992, Attachment, p. 1.

14. *Ibid.*, p. 16.

15. *Ibid.*, p. 18.

who would benefit from a Master's program in Psychology but who are not able to gain access to places in the province."¹⁶

The Academic Advisory Committee accepts Brock University's projection that the demand from both recent Psychology graduates and individuals currently employed, and wishing to study on a part-time basis, will be significant and long-term.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed MA program in Psychology is based on existing strength in the Department of Psychology at the undergraduate level. An external review of the undergraduate program in 1986 led to a restructuring of the curriculum, and the hiring of an additional 10 tenure stream and two adjunct faculty, in anticipation of the development of a graduate program. The faculty necessary to support all three of the fields to be offered within the program are now in place.

The resources available to the MA program are extensive and include state-of-the-art human electrophysiology and sleep labs, monitored animal research facilities, and facilities in which observational and longitudinal studies of infants, children and other special populations can be undertaken. On-site electronic and machine shops can construct and repair equipment as necessary.

Library resources and computer facilities are more than sufficient to support the proposed program.

The MA program in Psychology is supported by collaborative links with the Department of Biology and the Department of Education (both of which have Master's programs) and with programs in Child Studies, Neuroscience and Communication Studies.

Students in the proposed program will also benefit from the Psychology Department's well-established links with the community and the resources located in institutional settings.

The MA program in Psychology has been included in Brock University's five-year graduate plan since 1990.

The Academic Advisory Committee is satisfied that the proposed MA program in Psychology is consistent with the aims, objectives and existing strengths of Brock University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Psychology at Brock University be recommended by Council for funding eligibility.

Academic Advisory Committee

January 8, 1993

16. Ibid.

Appendix B

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Communication (MA)
Carleton University**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, Carleton University requested that Council consider its new Master of Arts (MA) program in Communication for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on March 25, 1991.

2. Societal Need and Student Demand

The Master of Arts program in Communication was established to provide students with a critical understanding of communication theory, policy problems, and communication institutions and technologies. The primary objective of the program is to train students capable of undertaking careers in media analysis and the cultural industries, and careers in communication research, development, management, and regulation. The program will also contribute to the advancement of communication as a discipline and create a nationally-recognized focus of communication expertise.¹

Carleton University states that:

The need for communication graduates is a long-term national trend linked both to economic transformations within the communication/cultural industries, and to cultural change within society itself. Furthermore, the societal need identified here has an international dimension as the economic transformations, the activities of the communication/cultural sector, and the attendant cultural behaviour patterns are all worldwide in scope.²

The University also argues that the transformation of modern societies into communication-based societies, which has both economic/industrial and cultural/ideological aspects, has

1. Carleton University, Funding Application: Master of Arts in Communication Submitted to the Ontario Council on University Affairs, July 31, 1992, p. 1.

2. Ibid., p. 2.

significantly increased the need for communication expertise. Noting that communication and cultural industries have come to play a dominant role in national and international economic affairs, Carleton University argues that there is a demand for persons able to:

- understand and intervene in the process of policy formation;
- understand and intervene in the public debate on legitimacy and governance;
- understand and intervene in the assessment of the social implications of technology;
- understand and intervene in the international implications of communication transformations;
- understand and contextualize emerging cultural behaviour patterns; and
- understand and intervene in the opportunities created by the transformations.³

In its submission, Carleton University indicates that the societal need for graduates of the proposed program is felt most strongly by the following organizations and groups:

- federal and provincial government agencies and corporations such as CBC, TVO, Telefilm Canada, the Canadian Radio-Television and Telecommunications Commission (CRTC), the Canadian Audio-Visual Certification Office (CAVCO), and the Department of Communication (DOC);
- trade unions and labour organizations, such as the Communication Workers of Canada (CWC);
- consumer and pressure groups, such as the Children's Broadcast Institute (CBI), the North-South Institute, the International Research Development Centre (IRDC);
- private sector "actors" (broadcasters, producers, lobbyists, telecommunications firms, Bell Canada, etc);
- international organizations (UNESCO, Commonwealth of Education); and
- private sector non-media groups which use media and media analysis (e.g., the Royal Bank).

Verification of the societal need for program graduates was provided by a number of potential employers, including the Department of Communications, Government of Canada (the Information Technology Policy Branch, Telematics and New Media Communications Branch and the Canadian Audio-Visual Certification Office); the Canadian Radio-Television and Telecommunications Commission; and the Communications and Electrical Workers of Canada.⁴

Several favourable comments from potential employers were received. For example, the Department of Communications stated:

3. Ibid., p. 3.

4. Ibid., see Appendix C: "Letters".

A graduate of the M.A. Program would be a good candidate for employment at the Department of Communications. In the rush to implement an Information Society in Canada, there has been little emphasis on the question of what such a Society means for Canada. It seems that your graduates are well qualified to understand the creation, development and impact of information technologies. Going further, I predict that there will be a growing demand for graduates with such qualifications. This is so since the initial enthusiasm with the magical qualities of information technologies will give way to questions of: who pays, who benefits, how do we minimize costs and maximize benefits. Graduates of your program should find employment in teaching, in other federal departments and in relevant provincial ministries.⁵

Interest in hiring program graduates was also expressed by a representative of the Communications and Electrical Workers of Canada who indicated:

I believe that there is a strong need for people with these kinds of skills out in the work world, and when hiring people to staff our research department, CWC looks for them.

As a trade union, we seek people with excellent analytical and research skills to carry out work on critical issues of the day. Having said that, there are a couple of other institutions that immediately come to mind which would also benefit from hiring individuals who have graduated from this program: government departments, and non-governmental agencies such as advocacy groups or industry associations.

Since the Canadian economy is currently going through significant restructuring, I would expect that individuals with critical, analytical and policy development skills would be in great demand in the years ahead.⁶

Similar expressions of need for program graduates were expressed by the Chairman of the CRTC, who stated:

I have carefully examined the course descriptions within the Mass Communications program...The CRTC would, in my view, have a direct interest in recruiting graduates of your program, most particularly in relation to policy jobs in the broadcasting side of its mandate...the need for graduates with the background provided by your program exists and is quite likely to increase as the broadcasting policy mandate of government (whether federal or provincial) evolves in the face of changing demographics.⁷

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5. Letter from Dr. Arthur J. Cordell, Special Advisor, Information Technology Policy, Department of Communications, to Professor Paul Attallah, Associate Director, School of Journalism (Mass Communication), Carleton University, May 11, 1992.
 6. Letter from Ms Patricia Blackstaffe, Assistant to the President, Communications and Electrical Workers of Canada, to Mr. Paul Attallah, Associate Director, School of Journalism (Mass Communication), Carleton University, June 30, 1992.
 7. Letter from Mr. Kenneth Katz, Office of the Chairman, Canadian Radio-Television and Telecommunications Commission, to Professor Paul Attallah, Associate Director, School of Journalism (Mass Communication), Carleton University, July 7, 1992.

Student demand for the program during the first two years of operation has been significant. The number of applications to the program increased from 23 in 1991 to 47 in 1992. Nine students were admitted to the program in 1991-92 and an additional 11 students were admitted for 1992-93. A steady-state admission level of 12 to 15 students per year is projected to be achieved by 1993-94. By 1995, a steady-state total enrolment level of 20 students is anticipated.⁸

Inquiries have been received from across Canada, the United States and other international centres. Most students admitted in year one of the program had completed undergraduate work at an Ontario university (Carleton University 6, University of Ottawa 1, Queen's University 1, and McGill University 1). In year two of the program graduates of York University, the University of Waterloo, Simon Fraser University, Concordia University and a Taiwanese university were admitted in addition to other graduates of Carleton, Ottawa and Queen's Universities, reflecting increasing diversification of the student body by geographical and institutional origin.⁹

The Academic Advisory Committee notes that the only other similar program is located at the University of Windsor (MA in Communication Studies). The Committee notes that the focus of the program at the University of Windsor differs substantially from that of the program at Carleton University, although there is some course overlap. In view of the societal need, student demand and distance between the two programs, it is the Committee's belief that any duplication between these two programs is justifiable.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The Master of Arts program in Communication builds upon significant existing faculty and resource strengths at the undergraduate level at Carleton University in Mass Communications and in Journalism. Carleton University also offers a Master of Journalism degree. Corollary program strengths are located in the School for Studies in Art and Culture, the School of Canadian Studies, the Department of Sociology and the Department of Political Science.

The program has been included in the University's five-year graduate plan since 1988.

Notable resources available to the program include the CBC library which was recently obtained by the Carleton University Resource Centre. The University notes that negotiations are also on-going to obtain the entire record of CBC Newsworld broadcasts, which would prove an invaluable resource for researchers across Canada.¹⁰

Carleton University indicates that the program also benefits by virtue of its location in Ottawa, as the city and its surrounding area constitute an unusually rich source of communication expertise and potential students. The Academic Advisory Committee notes that major public and private sector departments, agencies, industries, and consultants, such as CBC, CRTC, CAVCO, Telesat, Bell Northern, the North-South Institute, and the Communication Workers of Canada are situated in the Ottawa region. As a result, the program will have access to a highly talented pool of individuals and organizations to draw upon for lectures, program development advice and guest speakers.

8. Carleton University, Op. cit., p. 5.

9. Ibid., p. 7.

10. Ibid., pp. 8 - 9.

The Academic Advisory Committee is satisfied that the proposed MA program in Communication is consistent with the aims, objectives and existing strengths of Carleton University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Communication at Carleton University be recommended by Council for funding eligibility.

Academic Advisory Committee

December 4, 1992

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Legal Studies (MA)
Carleton University**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, Carleton University requested that Council consider its new Master of Arts (MA) program in Legal Studies for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on September 21, 1990.

2. Societal Need and Student Demand

Carleton University indicates that the purpose of the Master of Arts program in Legal Studies is to

provide an interdisciplinary, theoretical and research-oriented graduate program which explores the critical role of law as a social and political institution and which places special emphasis on the relationship between law and social transformation.¹

The program is designed to explore the complex ways in which the law affects the social environment and is, in turn, shaped or constituted by that environment. Research and analysis are undertaken within a social science context utilizing alternate methods of enquiry and investigation traditionally not used in legal research.²

The Academic Advisory Committee notes that the importance of theoretically-informed, interdisciplinary post-graduate study in law was raised in the report of the Arthurs Committee on Research and Education in Law, prepared for the Social Sciences and Humanities Research Council of Canada in 1983. That report recommended that graduate programs in law with a "strong intellectual and theoretical component" should be promoted and expanded, with

1. Carleton University, Submission to the Ontario Council on University Affairs for Funding of the M.A. Program in Legal Studies, October, 1992, p. 1.

2. Ibid.

emphasis placed on research methodologies and interdisciplinary perspectives.³ Existing graduate programs in law remain under the aegis of professional law schools and access is, therefore, limited to applicants who have already completed a professional undergraduate Law degree. Furthermore, little emphasis is placed on developing research skills or theoretical perspectives from outside the traditional discipline of law.

As demonstrated by the numerous letters attesting to the societal need for graduates of the proposed MA program in Legal Studies which were reviewed by the Academic Advisory Committee, there appears to be a significant and growing long-term societal need for a graduate program in law which is both research-oriented and interdisciplinary in focus. As Carleton University states:

Governments in particular are significant consumers of research relating to law, not only in connection with the work of law reform commissions, and federal and provincial Departments of Justice and Ministries of the Solicitor General, but also in other areas of government policy-making where an increasing legalization of social policy has occurred. This has created a demand for researchers and policy analysts with a theoretically-informed understanding of the relationship between law and social change, as well as a knowledge of legal rules, discourses and structures. A similar demand exists within independent public interest groups and organizations involved in legal reform and social policy formulation. At the same time, the recent incorporation of social science data and research techniques into traditional areas of legal practice, such as litigation, also requires legal practitioners to have some background in social science methodologies and perspectives.⁴

The University's case for the societal need for program graduates was substantiated by comments from a variety of sources, including the Department of Justice, which indicated:

A graduate research program such as this, which allows students to develop an interdisciplinary perspective on the law, is essential in providing both governmental and private-sector policy organizations with qualified individuals.

With the implementation of the Charter of Rights and Freedoms, the need has increased for people who possess the skills to approach problems from both a legal and social policy perspective. The M.A. degree at Carleton will equip students with the research, policy analysis, and conceptual skills which are demanded by employers such as the Department of Justice.⁵

Further elaboration on the societal need for graduates was provided by a representative of Statistics Canada, who stated:

3. Ibid., p. 2, citing from the Report of the Consultative Group on Research and Education in Law, Law and Learning, Social Sciences and Humanities Research Council of Canada, pp. 157, 160.

4. Ibid., pp. 3 - 4.

5. Letter from Mr. R.G. Mosley, Chief Policy Counsel, Criminal and Social Policy Sector, Department of Justice, to Mr. R.P. Saunders, Chair, The Department of Law, Carleton University, July 17, 1992.

Your department has evidently recognized the deep need in our society for legal knowledge that is reinforced and leavened with skills and sensibilities from the social sciences. The Master of Legal Studies program appears to have an innovative, yet rigorous curriculum which will expose its students to a variety of modes of social analysis and understanding that lie outside the boundaries of standard legal study. The program will also advantage Carleton's faculty community by providing an important common meeting ground for scholars who would be inclined to remain inside their disciplinary specialties.

By setting its orientation in terms of law as a social phenomenon (rather than as doctrine or technique), the program is sure to have visible and significant payoff to Canada; it will produce graduates distinctively equipped to work in government or academic settings, able to bring both legal and social science knowledge and reasoning to their responsibilities.⁶

The Academic Advisory Committee notes that only one law faculty in Ontario, located at the University of Toronto, offers a Master of Studies in Law program that is open to academics from other disciplines, and other non-lawyers, who are interested in obtaining some legal background in their fields of professional expertise or intellectual interest. Admission to all other Master's programs in law in Canada is limited to applicants who have successfully completed an undergraduate LLB or BCL with at least high second-class standing from a Canadian law school or from a recognized law school outside Canada.

The Academic Advisory Committee notes that the MA program in Legal Studies proposed by Carleton University, although similar to the program at the University of Toronto, is unique in several respects. It has an explicitly interdisciplinary focus, it places significant emphasis upon research, and it is offered within a social science context rather than from within a faculty of law.

Student demand for the program has originated with applicants who have completed an undergraduate degree in law, a related discipline or an LLB, as well as individuals with professional interests related to law such as researchers, policy analysts and other individuals with law-related responsibilities in government and in non-governmental institutes and organizations involved in the law reform and social policy process.⁷ Carleton University indicates that for both types of applicants, the interdisciplinary and research-oriented focus of the MA program in Legal Studies provides a basis for either further graduate research at the Doctoral level or enhanced employment opportunities in law or social policy-related fields.

Carleton University also notes that by being located in Ottawa, there is a significant potential student demand for the program on the part of individuals working in the law and social policy fields in the federal government and non-governmental organizations, institutes and agencies located in Ottawa.

Carleton University employed a survey of Carleton's own Baccalaureate-level graduates from the Department of Law in 1985 to explore the degree of student interest in a Master's program in law and society. Of the 406 graduates who responded to the survey, over 40% indicated a strong or reasonably strong interest in enrolling in such a program if it were available.

6. Letter from Mr. Paul Reed, Senior Social Scientist and Fellow, Canadian Institute for Advanced Research, Statistics Canada, to Professor R.P. Saunders, Chairman, Department of Law, Carleton University, July 10, 1992.

7. Carleton University, *Op. cit.*, p. 5.

In addition, the University received numerous enquiries from students in other disciplines and from outside Carleton University about a graduate program in law.

Expectations of strong student demand for the program were fulfilled by the number of enquiries and applications received by the program to date. The University indicates that there have been a total of 495 enquiries about the program and 107 applications received to date.⁸

In 1991-92, the first year of the program, six full-time students and three part-time students out of 14 qualified applicants were accepted into the program. For 1992-93, 12 full-time students, five part-time students and three qualifying-year students (one of whom is part-time) were admitted out of 23 qualified applicants. Within the next two to three years, the Department of Law expects to reach a steady-state admission level of 15 to 18 new full-time equivalent students per year.

Given the level of student demand demonstrated to date, it is anticipated that demand for the program will be significant, it will be long-term and it will exceed the number of available places in the program.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program and that, in this particular case, any duplication of the existing Master of Studies in Law (MSL) program at the University of Toronto is justifiable in view of the evidence of societal need and student demand noted above.

3. Consistency with Aims, Objectives and Existing Strengths

Carleton University argues that its Department of Law is ideally suited to offer an MA program in Legal Studies in view of its unique character as a non-professional Law Department with an established and successful undergraduate program in Law. With a complement of 24 faculty members, the Department of Law at Carleton University has established a reputation as a centre for research in the areas of legal theory and social theory, criminal justice reform, social history of law, feminist perspectives on law, international law, law and politics, and legal regulation of private law relations. The Academic Advisory Committee notes that the MA program in Legal Studies has been included in the five-year graduate plan of the University since 1988.

The proposed program builds upon the existing teaching and research strengths of faculty members within the Department of Law, and is enriched by the participation of faculty members from other departments with related teaching and research interests such as Sociology and Anthropology, Canadian Studies, Geography, International Affairs, Journalism, Political Science, Psychology, Public Administration and Social Work.

In its submission, Carleton University indicates that it maintains a collection of Canadian and comparative legal materials including statutes, regulations, case reports, periodicals, government reports and monographs which support both the undergraduate and graduate programs in law. In addition, the Chet Mitchell Law Resource Centre of the Department of Law (which has been supported by the Law Foundation of Ontario for the past nine years) provides an additional source of case reports, statutes, legal periodicals, government reports and monographs.

Students enrolled in the program also have access to computer terminals providing entry to library databases such as CUBE and computerized legal information retrieval systems such as the CAB network, QUIKLAW, and the proposed Department of Justice research network.

By virtue of its location in Ottawa, students will also benefit from close proximity to Government resources such as are found in government departments, the National Library, the Public Archives, the Library of Parliament and the Library of the Supreme Court of Canada. In addition, Statistics Canada and the Centre for Justice Research Statistics in Ottawa provide

8. *Ibid.*, p. 6.

students with access to Canadian qualitative data, which is supplemented by access to international data sources through the Social Sciences Data Archives housed at Carleton University.

The Academic Advisory Committee is satisfied that the proposed Master of Arts program in Legal Studies is consistent with the aims, objectives and existing strengths of Carleton University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

*enrolment in the Master of Arts program in Legal Studies at Carleton University
be recommended by Council for funding eligibility.*

Academic Advisory Committee

November 13, 1992

Appendix D

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Political Economy (MA)
Carleton University**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, Carleton University requested that Council consider its new Master of Arts (MA) program in Political Economy for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on November 23, 1990.

2. Societal Need and Student Demand

The Master of Arts program in Political Economy will provide students with the opportunity to study Political Economy from an interdisciplinary perspective within a single program. The program is offered by Carleton University's Institute of Political Economy, which offers courses on the fundamental aspects of theory and methods and co-ordinates the specific courses in Political Economy offered by a variety of other departments and schools within the University.¹

Program graduates may pursue further study at the Doctoral level in a discipline such as Political Science, Sociology or Public Administration. The Academic Advisory Committee reviewed verification from the Department Chairs of such programs regarding the admissibility of Political Economy graduates to Doctoral programs in these fields of study.² Other program graduates may regard this degree as the termination of their post-secondary education and seek employment in the workforce. These students would be capable of meeting a societal need for skilled researchers in the private and public sectors, at local, provincial and national levels. Specific organizations that indicated a desire to employ program graduates included public sector employers such as the Department of Finance, the Ontario Ministry of Treasury and Economics, and the Ontario Ministry of Labour; interest group organizations; professional associations such as the Canadian Union of Public Employees; and individual establishments such as the Canadian Centre for Policy Alternatives. The essence of the societal need for

1. Carleton University, Funding Application: Master of Arts in Political Economy, Institute of Political Economy, Carleton University, Ottawa, October 1992, p. 1.

2. Ibid., See Appendix E.

Political Economy graduates was captured by the remarks of a representative of the Ontario Ministry of Labour:

...immersion in the teachings of political economy builds a solid foundation for providing creative and reliable advice to public policy makers. For policy-relevant analysis, political economy bridges unhelpful divisions. It brings institutional awareness to conventional economic analysis at the same time that it supplements traditional political science concerns about democratic representation with insights into wealth creation and distribution. The resulting synthesis is a more comprehensive and nuanced understanding of policy relationships and the overall dynamics of the decision making process. I would also add that the breadth of literature covered within the political economy approach equips the graduate with an extensive knowledge base for mobilizing expert resources to serve governments and the public.³

The unique aspects of the program were noted by Dr. Melville Watkins, Professor of Economics at the University of Toronto, as follows:

As well as bringing together faculty and students from a variety of disciplines who are interested in political economy, the programme has the promise of linking, to their mutual benefit, the two existing, but rather separate, streams of Canadian political economy and international political economy; in my view, the programme is for this reason even more innovative than its originators claim...In short, what Carleton proposes to do in this master's programme in political economy is to create something that does not presently exist but is demonstrably feasible and desirable.⁴

In spite of this attestation, the Academic Advisory Committee requested that Carleton University provide evidence that the proposed program had been reviewed by the 11 Political Science programs and 11 Economics programs which are already in place at the Master's level in order to verify that the degree of overlap was minimal, to determine whether or not a student could construct a similar program of study from courses already available in these 22 existing programs, and to ascertain the impact of the proposed program on existing Political Science and Economics program enrolment levels.

Responses from other university programs in Political Science and Economics verified for the Academic Advisory Committee that the program in Political Economy at Carleton University did not duplicate existing Master's programs and that there was no anticipated detrimental impact on existing programs in these disciplines.⁵

With respect to the uniqueness of the proposed program, Carleton University stated that

...a student could not construct a similar program of study in either of these two disciplines, or in any other social science discipline. The problem is not that departments of political science and economics do not offer individual courses on

3. Letter from Mr. N. Bradford, Policy Advisor, Ministry of Labour, Government of Ontario, to Professor M. Dolan, Director, Institute of Political Economy, Carleton University, October 20, 1992, p. 2.

4. Carleton University, Op. cit., p. 3.

5. Carleton University, "Response to OCUA request for Additional Information", January 26, 1993, Appendix A, "Letters from Departments Commenting on the Masters Program in Political Economy".

various aspects of political economy...But, just as political economists teach in many disciplines, most departments in the social sciences other than political science and economics also offer courses that use a political economy perspective. Thus, a program emphasizing political economy would generally entail that students take courses from several departments. Taking courses in a number of disciplines would, however, violate standard program requirements that exist in virtually all departments across Ontario...In most departments at other Ontario universities, students may take **one** course in a cognate discipline with the permission of the department. This restriction runs counter to the spirit and letter of an interdisciplinary degree program, such as the masters program in Political Economy, where students are encouraged to take courses in multiple disciplines. Indeed, this cross-discipline approach is part of the raison d'être of Carleton's program in Political Economy.⁶

The University also noted that no other programs make available the interdisciplinary core courses and courses in the theoretical and methodological tools of study and research in Political Economy, nor require a thesis or research essay on a topic of Political Economy.

Upon review of this additional information, the Academic Advisory Committee was satisfied that the proposed program did not unnecessarily duplicate existing program offerings within the Ontario university system.

Student demand has been substantial over the first two years of the program's operation. Twenty-seven applications were received in 1991 and 43 applications were received in 1992. The percentage of applicants from the Province of Ontario was stable at 63 percent in each of the two application years. The remainder of applications came from students from across the rest of Canada, the United States, Brazil, China, Japan, Switzerland, Thailand, Turkey, Zambia and elsewhere.⁷

Admission to the program has been extremely competitive as over two-thirds of the applicants had scholastic indices above A- and almost half had a scholastic index of A+.⁸

The first cohort of 11 students was admitted to the program in 1991. The steady-state admission level of 12 students per year was achieved in 1992. Since the program is two years in duration, the steady-state total enrolment of 24 students is expected to be achieved in 1993.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

Carleton University indicates that planning for the MA program in Political Economy began in 1987. It has been included in the University's five-year graduate plan since 1989.

The Academic Advisory Committee notes that the program is consistent with Carleton University's existing strength and program emphasis on the delivery of interdisciplinary programs of study at the graduate and undergraduate level such as those offered by the Institutes of Canadian Studies, of Soviet and East European Studies, Women's Studies and the Schools of Public Administration and International Affairs.

6. Ibid., pp. 1 - 2.

7. Carleton University, Funding Application, Op. cit., p. 6.

8. Ibid.

The program is supported by courses offered in the Departments/Faculties of Business, Canadian Studies, Economics, Geography, History, International Affairs, Law, Political Science, Public Administration, Social Work, and Sociology and Anthropology.

Carleton University indicates that, "[i]n institutional terms, Carleton consolidated many of its political economy resources with the establishment of the Graduate Summer School in Political Economy in 1983. It is this program that we expanded into the Institute of Political Economy."⁹ The Academic Advisory Committee notes that distinguished international scholars have been attracted to teach in the Summer School, representing leading figures in the disciplines of Sociology, Economics, Political Science and Administrative Studies as well as Political Economy.¹⁰

The Academic Advisory Committee is satisfied that the proposed MA program in Political Economy is consistent with the aims, objectives and existing strengths of Carleton University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Political Economy at Carleton University be recommended by Council for funding eligibility.

Academic Advisory Committee

February 12, 1992

9. Ibid., p. 9.

10. Ibid., p. 10.

Appendix E

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Aquaculture (MSc)
University of Guelph**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, the University of Guelph requested that Council consider its new Master of Science (MSc) program in Aquaculture¹ for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on June 19, 1992.

2. Societal Need and Student Demand

The purpose of the proposed program is to produce graduates prepared for leadership roles in the new, rapidly growing, aquaculture industry who have an integrated, technical knowledge of the concepts of animal production, agribusiness and state-of-the-art technology as they relate to aquaculture. It is a non-thesis degree program consisting of course-work and a special project related primarily to the production of coolwater and coldwater fin-fish species. The objective of the degree is to provide an intensive, multidisciplinary program of study, without areas of sub-specialization.² Students will

examine the successes and failures in conventional agriculture commodity production, and ... use these models as a tool to help them make a positive contribution to the evolution of a new, and rapidly expanding sector of aquatic food production.³

1. In its submission, the University of Guelph defines Aquaculture as the production of biomass through artificial cultivation techniques of any aquatic plant or animal, including algae, molluscan, crustacean, and fish species. (University of Guelph, Master of Science in Aquaculture (MSc[Aquaculture]): Submission to the Ontario Council on University Affairs, October 1992, p. 10.)

2. Ibid., p. 10.

3. Ibid., p. 16.

The program will be administered by the Aquaculture Interdepartmental Group, consisting of members of the graduate faculty with teaching or research interests relevant to aquaculture.

Evidence provided by the University of Guelph indicates that there is an immediate and growing need for specialists and managers with advanced, multidisciplinary training who can contribute to the successful and orderly development of the aquaculture industry. Although technical training is being adequately addressed at community colleges across Canada, and research centres at a number of universities offer a variety of disciplinary, thesis-based MSc and PhD programs relevant to the aquaculture sciences, there is a paucity of educational opportunities for students seeking an integrated and broadly-based training program in aquaculture at an advanced level.⁴

The societal need for program graduates has been fuelled by a number of factors, including the decline in wild fish stocks and an increase in the size of cultural communities of Asian and European origin which have stimulated the demand for aquaculture products. General increases in per capita consumption of seafood in North America have also stimulated the demand for seafood products. Globalization of the marketplace, free trade and increased competition from foreign producers require that the Canadian fish-farming community stay at the forefront of technological innovation in aquaculture. Without this, the University of Guelph suggests, the industry may suffer an early demise. Public agencies involved in regulating and servicing aquaculture are experiencing difficulty keeping pace with the rate of development in this industry because they have few, if any, staff who are expert in the field of aquaculture and they are unable to effectively integrate the needs of the industry with existing government programs.⁵

In the development of the proposed program, the University of Guelph consulted widely with potential employers of graduates including a number of ministries within the Ontario government, the Federal Department of Fisheries and Oceans, the Ontario Aquaculture Association, the Canadian Aquaculture Producers Council and the Aquaculture Association of Canada. The need for program graduates was determined to be significant and long-term. Nationally, the federal government has suffered from a chronic shortage of skilled aquaculture specialists. The Ontario government is about to incorporate aquaculture products into their fish inspection programs, and staff will be required to fill these new positions. Private sector opportunities will be available for individuals prepared to be involved in the start-up and management of large-scale aquaculture companies.⁶

Currently, in its early stages of development, the aquaculture industry is expected to expand aggressively well into the 2000s. Although demand for graduates is, therefore, projected to be long-term, the University of Guelph has also noted an urgent short-term demand for skilled problem-solvers to assist the industry through its "predictably volatile and high-risk developmental years."⁷

Graduates are expected to obtain employment in medium to senior-level positions within the private and public sector including positions with primary producers; feed, equipment and pharmaceutical manufacturers and suppliers; processors; co-operative and marketing firms;

4. Ibid., p. 21.

5. Ibid., p. 22.

6. Letter from Mr. Donald L. McLeod, Co-ordinator, Aquaculture Technician Program, Sir Sandford Fleming College, Lindsay, to Dr. Richard Moccia, Ontario Agricultural College, University of Guelph, November 27, 1992.

7. University of Guelph, Op.cit., p. 22.

government agencies with a mandate to service the industry; consulting firms and other support groups which interact with the aquaculture industry.⁸

The program is innovative and unique. No other university in Canada offers such a program, nor can provide the breadth of aquatic-oriented courses available at the University of Guelph.⁹ As noted by the Ministry of Agriculture, Fisheries and Food, British Columbia:

The interdisciplinary, course-oriented format of the program is an excellent structure that will fill a void which exists in current post-graduate offerings in aquaculture...Aquaculture development still suffers somewhat from piecemeal application of the sciences on which it is based. This program will not only provide a comprehensive learning experience for students, but it will foster closer interaction and understanding of aquaculture by faculty who provide the program... There is no doubt that this type of program is needed and will attract high quality students from across Canada and other countries.¹⁰

Student demand is expected to come from individuals holding undergraduate degrees in programs such as Animal Science, Biology, Environmental Biology, Fisheries Biology, Marine Biology, Microbiology, Nutritional Sciences, Wildlife Biology or Zoology. Preference will be given to applicants having relevant Post-Baccalaureate work experience. The program can be completed in three to four full-time semesters. Part-time programs of study are available, and will be encouraged if the student's other commitments are substantial. The University of Guelph indicates that students are not required to pursue the program in consecutive semesters; those students with work commitments may alternate study semesters and on-leave semesters.¹¹

The first two students were admitted to the program on a part-time basis in September, 1992. The annual intake level is expected to increase by four to five students per year until the steady-state total enrolment level of 20 students is achieved in 1996. Enquiries about the program received to date suggest that demand for the program is substantial and originates from a variety of individuals from across Canada and internationally, from professionals working in the field and from professionals in other fields, such as veterinarians, considering a career change.¹²

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

8. *Ibid.*, p. 23.

9. The Academic Advisory Committee notes that Simon Fraser University in British Columbia offers a non-thesis Master's degree in Aquaculture. However, this program is not interdisciplinary in the same sense as the University of Guelph program in that Simon Fraser University does not have the broad agricultural program mix which dominates programming at the University of Guelph.

10. Letter from A.J. Castledine, PhD, Provincial Aquaculture Production Specialist, British Columbia Ministry of Agriculture, Fisheries and Food, to R. Moccia, Ontario Agricultural College, University of Guelph, November 30, 1992.

11. University of Guelph, *Op. cit.*, p. 2.

12. *Ibid.*, p. 24.

3. Consistency with Aims, Objectives and Existing Strengths

The University of Guelph is unique in Canada in its long-established expertise and diverse facilities devoted to Aquaculture. Core faculty are drawn from eight departments and schools on campus including Agricultural, Veterinary, Engineering, Fisheries and Biological Sciences. There has already been an extensive investment at the University of Guelph in an infrastructure for advanced teaching and research in Aquaculture. The necessary faculty are in place and are actively conducting research in the Aquaculture field.

Corollary program strengths include graduate activities in Fish Nutrition, Fish Pathology, Fish Reproductive Physiology, Fish Metabolism and Growth, and also in Aquaculture Engineering, Aquatic Microbiology, Food Science, Veterinary Science, Marketing and Economics, Population Medicine, and Rural Extension Studies related to Animal and Aquatic Sciences.

The establishment of this program will tap into this well-developed expertise in the Agricultural and Aquatic Sciences which is "currently being underutilized as an asset for the aquaculture industry."¹³ The proposed program is also consistent with the University's statement of institutional aims and objectives Towards 2000: Challenges and Responses, which states that the University is dedicated to "adding new programs when both a significant need and the required excellence in faculty achievement and auxiliary support have been demonstrated."¹⁴

The Academic Advisory Committee notes that an existing agrifood contract with the Ontario Ministry of Agriculture and Food provides for a large aquaculture research station which is currently under construction. This infrastructure provides an additional resource for the Aquaculture program, with hands-on training in large-scale facilities for the students. The University also offers a vast array of freshwater and marine facilities for research and teaching, a full range of teaching, diagnostic and research laboratory and computer facilities and sufficient office and laboratory space to support the offering of the proposed program.

Research infrastructure funding is provided from a variety of sources, most notable of which is the Ministry of Agriculture and Food which provides nearly \$800,000 annually for fish production research as part of a \$30 million contract to supply a diversity of agrifood programs.

The program has been included in the University of Guelph's five-year graduate plan since 1990.

The Academic Advisory Committee is satisfied that the Master of Science program in Aquaculture is consistent with the aims, objectives and existing strengths of the University of Guelph.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Science program in Aquaculture at the University of Guelph be recommended by Council for funding eligibility.

Academic Advisory Committee

December 4, 1992

13.. Ibid., p. 17.

14.. Ibid., p. 25.

Appendix F

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Master of Management Studies (MMS)
in
Hospitality Management
University of Guelph**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, the University of Guelph requested that Council consider its new Master of Management Studies (MMS) program in Hospitality Management for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on June 19, 1992.

2. Societal Need and Student Demand

The Master of Management Studies (MMS) program in Hospitality Management is a two-year thesis-oriented degree for those who are engaged in or aspire to careers in consultancy, education, research or development in the hospitality industry.¹ The program provides for emphasis on the hotel, restaurant, institutional feeding, and tourism industries as well as the broader area of service industries. Students will specialize in either hospitality management or marketing management. The program is both management-oriented for those seeking opportunities in industry, and research-oriented for those students planning careers in education and consulting.² Most students admitted to the program will have had at least one year's management experience in industry.

The Academic Advisory Committee notes that growth in the hospitality industry worldwide has slowed along with the general decline in international economic activity. However, the University of Guelph indicates that the need for hospitality education has continued to grow, and the need for more sophisticated managers to manage the complex organizations already in place will continue to increase as future growth and expansion occur in an international context. The

1. University of Guelph, Master of Management Studies (MMS) in Hospitality Management: Submission to the Ontario Council on University Affairs, October, 1992, p. 1.

2. Ibid., p. 4.

dimensions of the societal need for graduates is therefore broad, encompassing socio-cultural, economic, scientific and technological needs.³

Specifically, the MMS program in Hospitality Management will meet a growing need for competent personnel, educators, consultants and researchers with advanced education for all aspects of the hospitality industry and the service sector. The academic need for graduates of such a program has also increased throughout the 1980s due to a proliferation of undergraduate programs in hospitality and the concomitant need for instructors with advanced degrees.⁴ The academic need for graduates is expected to be significant and long-term as most colleges and universities have begun to require Master's degrees in Hospitality for newly-hired faculty. The overall demand for graduates is expected to be national as the University of Guelph will be the only university in Canada offering a Master's degree in Hospitality Management.

The various aspects of the societal need for graduates was verified for the Committee by an array of supporting documentation. For example, the Canada Council on Hotel, Restaurant and Institutional Education, (CHRIE) Canada, noted:

If Canada is to become and remain competitive in the rapidly growing world travel and tourism industry we must develop a larger, more highly educated core of professionals. These professionals will play the role of catalysts in the efforts to develop a stronger infrastructure and quality product based upon solid, researched and proven business practices. They are needed both in the main stream industry and in the industries and educational services which now exist and which will be developed in support of this important industry....It is at present very difficult to find credible, educated, individuals with industry experience who are able to accept the challenge to educate our industry's future workforce. When recruiting, we are now forced to seek candidates who have strong experiential credentials, but who lack the formal educational background we also desire. The availability of this program at a university of the stature of Guelph, will over time make a significant contribution to the satisfaction of this need.⁵

Further evidence of the need for program graduates was provided by the Hospitality and Tourism Educators - International, CHRIE; Department of Hospitality Administration, Vancouver Community College; Food-Beverage and Hospitality Program, Sir Sandford Fleming College; Hospitality and Tourism Division, Niagara College; School of Hospitality, Humber College; Hospitality/Tourism and Office Technology, St. Andrews Community College of New Brunswick; Tourism (Business) Management Program, Georgian College; Hospitality Management, Malaspina College, B.C.; School of Hotel and Food Administration, Brock University; School of Hospitality Management and Tourism, University of Denver; Hotel and Restaurant Administration, Washington State University; School of Hospitality and Tourism, Ryerson Polytechnical Institute; and Department of Tourism and Hospitality Management, Mount Saint Vincent University.

As previously indicated, this program will be the first of its kind in Canada. With the exception of an MBA program specializing in Tourism at the University of Calgary, Canadians seeking advanced degrees in Hospitality Management have had to enrol in American programs.

3. Ibid., p. 15.

4. Ibid.

5. Letter from Mr. John W. Ferguson, President, Canada Council on Hotel, Restaurant and Institutional Education, (CHRIE) Canada, to the Academic Advisory Committee, OCUA, c/o the University of Guelph, August 28, 1992.

For example, in 1992-93, Niagara University of New York reported that in the second year of its Master's program in Hospitality, three-quarters of the 24 students enrolled were Canadians.

The University of Guelph anticipates receiving 20 applications to the proposed program per year. Roughly 20% of the applicants are expected to come from Guelph's own undergraduate program; 10% are expected to come from educators in other Canadian institutions; and 50% are expected to originate from graduates of other disciplines such as Business and Liberal Arts. The remaining 20% of the student demand is expected to come from Visa students, the majority of whom are expected to hold Hospitality degrees.⁶ Student demand is expected to be long-term from all sources.

The Academic Advisory Committee notes that the proposed program was strongly endorsed by the Student Administrative Council, Hotel and Food Administration, of the University of Guelph.⁷

The Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed MMS program will be offered within the existing School of Hotel and Food Administration at the University of Guelph. The University notes that there are over 500 undergraduate students currently enrolled in the School working toward their Bachelor of Commerce degrees. Since the early 1980s, the University of Guelph has also conducted professionally-oriented management programs for the hospitality industry. Three types of programs are currently offered of two days, one week and three weeks in duration. Specifically designed to meet industry needs, these programs focus on sharpening analytical skills, improving problem-solving and decision-making abilities, and strengthening leadership potential for practising managers, many of whom have not received any post-secondary education.⁸ The addition of a graduate program to this area of existing strength has been part of the long-range plan of the School since 1985. It is consistent with the mission of the School to "be the leader in hospitality education, scholarship and service in Canada, and a leader, similarly, internationally."⁹

The proposed MMS program in Hospitality Management is also consistent with the University of Guelph's institutional strategic plan, Toward 2000: Challenges and Responses which states that the University is "dedicated to sustaining excellence in its present programs and to adding new programs when both a significant need and the required excellence in faculty achievement and auxiliary support have been demonstrated."¹⁰

The faculty, library resources and facilities necessary to offer the program are already in place. The Committee notes that some faculty members have received international recognition for their contribution to Hospitality scholarship. For example, the University of Guelph indicates that two faculty members have received the John Wiley & Sons award for lifetime dedication and contribution to Hospitality scholarship (1991 and 1992). One of these individuals also

6. University of Guelph, Op. cit., p. 18.

7. Letter from Mr. Robert B.F. Hosking, President, Student Administrative Council, Hotel and Food Administration, to the Academic Advisory Committee, October 2, 1992.

8. University of Guelph, Op. cit., p. 1.

9. Ibid., p. 20.

10. Ibid., p. 18.

received the 1992 Council of Hotel, Restaurant and Institutional Educators Award for lifetime dedication and contribution to hospitality education.¹¹

The Academic Advisory Committee notes that the MMS program is strongly supported by the hospitality industry which contributed over \$1,300,000 to finance the new building in which the School is located. Additional funds have been contributed to support the operating costs, research, scholarships, management, education and a chair in support of the proposed program.

The MMS program has been included in the five-year graduate plan of the University of Guelph since 1992.

The Academic Advisory Committee is satisfied that the Master of Management Studies program in Hospitality Management at the University of Guelph is consistent with the institution's aims, objectives and existing strengths.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Management Studies program in Hospitality Management at the University of Guelph be recommended by Council for funding eligibility.

Academic Advisory Committee

November 13, 1992

11. Ibid., p. 20.

Appendix G

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Studio Art (MFA)
University of Guelph**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, the University of Guelph requested that Council consider its new Master of Fine Arts (MFA) program in Studio Art for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on May 22, 1992.

2. Societal Need and Student Demand

The Master of Fine Arts program in Studio Art, proposed by the University of Guelph, will prepare students as professional artists and artist-teachers as well as meet a societal need for individuals who can potentially provide leadership in the area of visual culture and higher education in Canada.¹ Specializations are offered in Drawing, Painting, Printmaking, Sculpture, and alternative practices. Studio practice is emphasized, although courses in Art Theory, Criticism, History and Pedagogy are included in the program. A thesis exhibition, supporting paper and oral examination are required components for graduation.

Innovative aspects of the proposed program include required seminars in Pedagogy involving studio pedagogy and curriculum development, and an integrated teaching practicum at the university level. Students will also be able to pursue part of their studies on a part-time basis in order to accommodate mature students who work full-time as professional artists, artist-teachers, curators, etc. This option was incorporated into the program because the University found that many qualified, mature professionals have been denied opportunities for advanced study, in part, because of the relative inflexibility of other MFA programs, as well as the limited places for study in the province.² Consistent with general University policy, students have the opportunity to continue their studies through the full Spring semester.

The Academic Advisory Committee notes that the MFA is generally accepted as the terminal degree in the field of "the making of art" and assumes the capacity of graduates to begin

1. University of Guelph, Master of Fine Arts (MFA) in Studio Art: Submission to the Ontario Council on University Affairs, October 1992, p. 9.

2. Ibid., p. 15.

careers as professional artists. The University of Guelph indicates that, to this end, the proposed MFA is intended "to guarantee a high level of professional competence and personal originality in the informed practice of a studio discipline."³

The University of Guelph notes that the primary objective of the program is to help students attain professional competence in the creation of visual art and to understand the historical and theoretical context of their practices. However, the program will also prepare students for positions as artists-teachers of visual art at the post-secondary level in universities, community colleges and art schools.

In view of the fact that every university department of visual art in Canada has an aging faculty, with the majority of professors between 45 and 60 years of age, there will be a significant and long-term need for qualified Canadian artist-educators. The University of Guelph notes that during the 1960s, there were initially no Master of Fine Art programs in Studio Art in Canada. Consequently, as programs developed, the majority of Canadian Departments of Visual Arts hired faculty with post-graduate qualifications from such other countries as the United States and Great Britain. These faculty knew little about the Canadian cultural context or history. The University warns:

If our universities do not offer enough places in MFA programs to enable our citizens to pursue graduate studies in a Canadian context, there is likely to be, again, a dependence on importing faculty from abroad. This would, of course, tend to subvert the further development of national, provincial, and regional visual cultures. After several decades of growing confidence in Canadian achievements in the visual arts, there would be the very real possibility of returning to the vulnerable state of the mid-sixties.⁴

Numerous examples of recent advertisements for faculty by universities and art colleges in Canada confirmed, for the Committee, that the MFA is now required for teaching positions for higher education in Canada.⁵ In addition, research commissioned by the Canadian Association of Fine Art Deans entitled Policies Concerning Increments, Rank, Promotion, Tenure Granting in Fine Arts at Canadian Institutions revealed that most universities in Canada require Master of Fine Arts degrees, or the equivalent in professional experience, for the hiring and/or granting of tenure for studio instructors.⁶ The University of Guelph also cites the more general cultural, economic and social needs which are met by graduates of MFA programs. The University states that:

The presence of well-educated, innovative and ambitious artists contributes substantially to numerous aspects of the nation and the province including their cultural identity, economic development (e.g. design of manufactured goods; cultural industries; tourism etc.), quality of life, international status, etc.⁷

3. Ibid.

4. Ibid., p. 14.

5. Ibid., p. 15.

6. Ibid.

7. Ibid., p. 13.

According to the Ontario Ministry of Culture and Communication's report entitled The Status of the Artist in Ontario, (1992), the cultural sector contributed \$4.5 million to the revenue of Ontario and nearly half of all of Canada's artistic activity and resources were concentrated in this province.

Despite the concentration of artistic talent in the province, there are relatively few opportunities for advanced study. Only York University and the University of Windsor currently offer Master's-level programs in Fine Art. In total, these two institutions can accommodate a maximum of 25 students at the total steady-state (16 students at York University and 9 at the University of Windsor).⁸

Given the fact that there are at least 1,000 visual arts students graduating with BA, BFA or diplomas from post-secondary educational institutions in Ontario every year, the average combined total of 11 or 12 places available for MFA students each year by York University and the University of Windsor is totally inadequate to meet student demand. For 1992, York University indicated that it was able to accept eight students from a total of approximately 100 applications received, while the University of Windsor received an estimated 65 applications from which it was able to accept seven students.⁹

That the severe limitation on MFA spaces is a problem nationally was reinforced by the following comments from the Emily Carr College of Art & Design:

There is a great need for new MFA spaces to be developed in this country. Each year at Emily Carr when we prepare a panel to provide information to our students concerning graduate programs we find the statistics to be disheartening. Last year our research gave us figures such as Concordia University, 300 applications for 15 MFA spaces or Nova Scotia College of Art, 200 applications for 6 MFA spaces. This means that many excellent students are being turned away. Some Canadian students go to programs in England, the United States or Germany but this option is beyond the financial reach of many of our best developing artists. It is also now necessary for artists wishing to teach to have MFA degrees on top of exhibition records and teaching experience.¹⁰

The Academic Advisory Committee was provided with over 40 letters documenting the societal need for the proposed program. These letters originated from other Ontario MFA programs, other Ontario undergraduate programs in Fine Arts, Fine Arts programs from across Canada and from distinguished Canadian artists and other art professionals.

Although noting only slight differences between the proposed program and their own, both the University of Windsor and York University supported the establishment of the MFA at the University of Guelph as follows. The University of Windsor stated:

Due to the limited number of positions available, the University of Windsor's MFA programme has to reject a number of qualified applicants each year. Many young Canadian artists must enter programmes in the US and Europe in order to obtain their MFA degrees. Simply put, Canada has so few programmes and Ontario, up until now, has had only two...In light of the large number of qualified applicants

8. Ibid., p. 16.

9. Ibid., p. 17.

10. Letter from Mr. Landon Mackenzie, Painting Department Co-ordinator, Emily Carr College of Art & Design, to Mr. Ron Shuebrook, Chair, Department of Fine Art, University of Guelph, October 9, 1992.

coming from Ontario undergraduate institutions, we would like to reiterate the strong need for additional graduate positions in MFA programmes within the province of Ontario.¹¹

Similarly, York University indicated that

York and Guelph's programmes are quite similar in many respects, however, I am not concerned with duplication of what we do at York because we cannot handle the large number of excellent candidates who apply to York and we do require that our own B.F.A. students go to another institution to carry on their graduate studies. In 1992 we received 100 applications and we only accepted 8. I would say that the top 30 were almost equal in excellence and 15 of those rejected had "A" averages from other B.F.A. programmes...we are close to our physical and faculty limits and the demands for opportunities for advanced study are not being met because many talented artists have no place to study.¹²

Institutions with only undergraduate programs, such as Wilfrid Laurier University, noted the following:

...the new Master of Fine Art Program fills a gap and responds to a need in this particular geographical area, and allows exceptionally gifted students the opportunity to reach their full potential. This program will make a vital contribution to the visual arts, not only in this province, but in this country as a whole.¹³

Universities from outside Ontario were equally supportive of the proposed program. Illustrative of the observations made were the following remarks provided by Concordia University:

There is an ever increasing demand for enrolment at the graduate level in the fine arts. Art, as a discipline, is currently in a state of enormous growth, more artists are returning to the academy for advanced education, and the M. F. A. degree has become a prerequisite for artist-teachers. The M.F.A. Graduate program at Concordia University is one of the largest M.F.A. programs in the country, yet we are turning away potential students of very high calibre simply because our space and budget cannot service a larger community. Canadian universities must meet the demand with the development of the required programs.¹⁴

11. Letter from Mr. John K. Pufahl, Director, Ms. Sylvie Bélanger, Graduate Coordinator, Mr. Robert C. Ferraro, Associate Professor and Mr. Iain Baxter, Professor, School of Visual Arts, University of Windsor, to Mr. Ron Shuebrook, Chair, Department of Fine Art, University of Guelph, October 13, 1992.

12. Letter from Mr. Bruce Parsons, Director, MFA Graduate Programme in Visual Arts, York University, to Mr. Ron Shuebrook, Chair, Department of Fine Art, University of Guelph, October 14, 1992.

13. Letter from Ms. Ilse E. Friesen, Associate Professor of Art History and Coordinator of the Fine Arts Interdepartmental Program, Wilfrid Laurier University, to Professor Ron Shuebrook, Chair, Department of Fine Art, University of Guelph, October 6, 1992.

14. Letter from Ms. Corrine Corry, Acting Director, Interrelated Arts Coordinator, M.F. S. Open Media Studio, to the University of Guelph, October 8, 1992.

Comments from practising artists, such as what follows, further reinforced the need for the proposed program and the appropriateness of it being offered at the University of Guelph:

I am a practising artist presently living in Toronto. I received my BFA from the University of Manitoba in 1982 and my MFA from The Nova Scotia College of Art and Design in 1984. Since that time I have been a visiting artist at most of the Fine Art departments around the country...When I was making my decision where to study for my MFA I was overwhelmed by the lack of choice that I had at the time. I strongly support additional MFA courses being offered in Canada and I strongly support the University of Guelph's initiative to offer such a course. Guelph is a perfect location for a MFA program as the Department of Art has great facilities and teachers, the Macdonald Stewart Art Centre, located on campus, is an extremely well respected contemporary art institution, and Guelph is located near a number of additional important artistic communities like Toronto, London and Hamilton.¹⁵

At steady-state total enrolment levels, to be achieved in 1996-97, the University of Guelph projects enrolment of nine full-time and four part-time students. Nine students were admitted in 1992-93 from 31 applications of which there were 20 qualified applicants. An average of six new students will be admitted per year thereafter.¹⁶

The University of Guelph indicates that inquiries about the program have been international in origin, coming from across Canada, Great Britain and Asia. Students admitted in 1992-93 were graduates of four Ontario universities (York, Windsor, McMaster, and Queen's), Mount Allison University and The Nova Scotia College of Art and Design. Competition for admission to the program in 1993-94 is expected to be "fierce". Student demand generally is anticipated to be significant and long-term.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed program is consistent with the University of Guelph's commitment to develop graduate education in areas where "both a significant need and the required excellence in faculty achievement and auxiliary support have been demonstrated" as stated in the University's aims document entitled Toward 2000: Challenges and Responses.¹⁷ The proposed program has been included in the OCUA five-year graduate plan since 1992.

The University of Guelph has offered Fine Art programming since 1965. The first proposal for the establishment of an MFA in Studio Art was put forward in 1970; however, it was determined by the University that sufficient resources were not available at the time to support the program.

The Department of Fine Art is housed in Zavitz Hall, which was completely renovated in 1990-91. The renovation of the Department of Fine Art's building included the facilities and equipment necessary to support the proposed MFA program, and to enhance the University's existing strength in undergraduate-level Fine Art education.

15. Letter from Micah Lexier, to the Ontario Council on University Affairs, c/o the University of Guelph, October 1, 1992.

16. University of Guelph, Op. cit., p. 17.

17. Ibid., p. 18.

Faculty at the University of Guelph now have the academic and professional backgrounds to provide students with the opportunity to study representational conventions and traditions in all aspects of studio art. The presence of five full-time art historians reinforces the capacity of the program to provide a thorough historical and theoretical framework for MFA studies. The Committee notes that artistic work by faculty members is included in museum collections across Canada and abroad, including the National Gallery of Canada, the Art Gallery of Ontario, the Museum of Fine Arts and the Musée d'art contemporain in Montreal, the Tate Gallery in London, the Art Gallery of Windsor and the Vancouver Art Gallery.¹⁸

The program is supported by corollary program strengths in Drama, Women's Studies, Landscape Architecture and English. Visiting lecturers and the professional curatorial staff of the Macdonald Stewart Art Centre complement the available expertise of full and part-time faculty.

External support for the teaching program has been raised through alumni support. Such support has financed a visiting lecturers' program since 1991. The Department has also been a recipient of the maximum funding available from the Canada Council's Canadian Visiting Artists Fund. Joint with York University's Department of Visual Arts, the University of Guelph program received additional support for A Visiting Foreign Artists program in 1991-92.

The proposed MFA program will also be supported by scholarships and prizes provided by foundations, corporations and private donors in a manner similar to the support these sources currently provide to the undergraduate program in Fine Art.

The Academic Advisory Committee notes that the Macdonald Stewart Art Centre, located on campus, provides opportunities for graduate students to study first-hand its excellent collection of Canadian art, as well as the historic and contemporary works that are included in its exhibition schedule. Within the Department of Fine Art, the University notes the availability of a Print Study Collection which contains original prints by such Canadian and international artists as Snow, Wieland, Golub, Rembrandt, Matisse, and Picasso.

The Academic Advisory Committee is satisfied that the proposed MFA program in Studio Art is consistent with the aims, objectives and existing strengths of the University of Guelph.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Fine Arts program in Studio Art at the University of Guelph be recommended by Council for funding eligibility.

Academic Advisory Committee
December 4, 1992

18. Ibid., p. 21.

Appendix H

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Master of Forestry (MF)
Lakehead University**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, Lakehead University requested that Council consider its new Master's program in Forestry for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on May 22, 1992.

2. Societal Need and Student Demand

The proposed Master of Forestry (MF) program results from the introduction of a new degree designation introduced at Lakehead University to differentiate the new non-thesis stream program from an existing Master of Science program in Forestry (MScF). Lakehead University indicated that it was important to adopt the MF degree designation for the non-thesis stream of the Forestry program in order to comply with traditional international practice within the discipline of Forestry.

The purpose of the proposed program is to produce forest management practitioners capable of the application and integration of forest science knowledge and skills in addressing practical forestry issues. The program will meet a demand from experienced resource managers who wish to obtain an advanced education which is relevant to their needs. The needs of these individuals are not strictly academic, but also applied in nature. Lakehead University indicates that prior to the introduction of the MF program, local forest managers desiring additional training had to

enrol in the M.Sc.F. degree and struggle with the demands of a job and a thesis program...[which] resulted over the years in the M.Sc.F. degree having students enrolled for a much longer period of time than their BIU eligibility. Approval for time extensions from the Senate Graduate Studies Committee was often sought for those students who could not complete their programs according to University calendar regulations. The initiation of the M.F. degree can help to promote a more reasonable student flow-through as well as to allow students to get the qualifications appropriate to their needs.¹

1. Lakehead University, Funding Eligibility for the MF Degree in Forestry, October 26, 1992, p. 2.

The program will meet a need which ranges from local to national in scope. The need for advanced professional training has been heightened by the establishment, in 1992 by Forestry Canada, of nine national model forest programs responsible for demonstrating a viable process for achieving sustainable multi-value forests. The Ontario Ministry of Natural Resources recently established, in conjunction with Lakehead University and the University of Toronto, the Ontario Advanced Forestry Program (OAFP) which is a certificate program designed "to develop resources management skills and knowledge through a comprehensive and intensive study of the biological, ecological, economic and silvicultural components of contemporary forest management."² Advanced standing in the proposed MF program is granted to individuals who obtain the certificate and meet graduate school entrance requirements.

At the local level, the Lakehead Woodlands Division of Abitibi-Price Inc. has recently proposed a Model Forest on its 146,900 hectares of freehold land featuring a sustainable multiple use forest development rather than the traditional "timber management planning framework which merely tries to balance age class distribution by forest cover types"...³ Abitibi-Price indicated that it reviewed the proposed program and believed that graduates of this program will "provide the qualified persons that will be needed" by future forest managers.⁴

The societal need for program graduates was endorsed by the Canadian Institute of Forestry which noted:

...this degree will provide the opportunity to develop the skills and understanding which they [practising forestry professionals] will need in addressing the problems associated with society's use and expectations from Canada's forests. The link between the M.F. Degree and the Ontario Advanced Forestry Program will also provide to our field working membership, more opportunity to take advantage of the new M.F. Degree.⁵

The Ontario Professional Foresters Association also supported the program on the grounds that the proposed MF degree will provide a needed opportunity for continuing education for its membership which is currently "perceived to be lacking."⁶

The Academic Advisory Committee noted that in addition to meeting needs for such a program provincially, Lakehead University was also meeting international needs due to its existing strength in Forestry at the graduate level. The University indicated that in March, 1992, it was awarded a \$1.0 million contract by CIDA under the Institutional Linkage Program. This five-year project, addressing the problems of desertification and forest degradation in northern Ghana, will involve five members of the faculty and staff of the School of Forestry in the training of their counterparts in the Ghanaian universities. In addition, in July, 1992, Lakehead University was selected through a highly competitive peer review process for funding for the

2. Ibid.

3. Ibid.

4. Letter from R.D. Chown, Director of Woodlands, Abitibi-Price Inc., to Dr. John Naysmith, Director, School of Forestry, Lakehead University, October 27, 1992.

5. Letter from Mr. Peter Street, Chairman, N.W. Ontario Section, Canadian Institute of Forestry, to Dr. J. Naysmith, Director, School of Forestry, Lakehead University, October 27, 1992.

6. Letter from Mr. Paul McAlister, RPF, President, Ontario Professional Foresters Association, to Dr. John Naysmith, Director, School of Forestry, Lakehead University, October 27, 1992.

CIDA University Initiated Scholarship Program, the primary purpose of which is to train and graduate up to 21 Ghanaian students over five years with an MScF or an MF degree. A minimum of one-third of these students are to be female. Lakehead University notes that one outcome of this program is to graduate Ghanaian students with the knowledge and decision-making abilities to fill positions within government or the private sector where they will have substantial influence in setting forest management policies in their own country.

The program will be unique in Ontario. In addition, the only other Forestry program in Ontario, offered by the University of Toronto, does not offer a non-thesis program option. Prior to the establishment of this program, Ontario residents would have to pursue an MF degree at the University of Alberta, the University of British Columbia or the University of New Brunswick if they wished to study in Canada. There are 19 MF programs offered at American universities.⁷

Lakehead University expects to enrol two students in the MF program in 1993-94, increasing admission levels to a steady-state of five to seven new students admitted per year by 1997.⁸

The Committee is convinced of the societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed MF program is consistent with the University's mission to offer regionally relevant programs, and with existing program strengths. Lakehead University has had an undergraduate Forestry program in place since 1971, and has had over 853 graduates of that program since 1973. The MScF program has been in place since 1976-77 and has had 68 graduates to date. The Academic Advisory Committee notes that the program utilizes existing resources and faculty, so there are no additional cost implications associated with the offering of the proposed program. In fact, the proposed program allows for a more efficient utilization of existing human and capital resources, and of students' time and resources. Extensive field laboratory resources supporting graduate courses are already in place.

The proposed MF program will benefit from a Geographic Information System Laboratory located in the School of Forestry, equipped with 10 PC Arc Info Work Stations. Also located in the School of Forestry is the Centre for the Application of Resources Information Systems (LU-CARIS), which is considered to be one of the finest Geographic Information Systems/Remote Sensing installations in a Canadian university program in Forestry.⁹

Also situated on the Lakehead University campus is the Centre for Northern Forest Ecosystem Research (CNFER) which was officially opened by the Ontario Ministry of Natural Resources in the Fall of 1990.

Finally, a Chair in Forest Management and Policy was established in 1988 and endowed with a \$1 million bequest from the Province of Ontario.

The Academic Advisory Committee is satisfied that the Master of Forestry program is consistent with the aims, objectives and existing strengths of Lakehead University.

7. Lakehead University, *Op. cit.*, p. 8.

8. *Ibid.*, p. 4.

9. *Ibid.*, p. 6.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Forestry program at Lakehead University be recommended by Council for funding eligibility.

Academic Advisory Committee
October 16, 1992

Appendix I

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS
ACADEMIC ADVISORY COMMITTEE

**International Business Administration (IMBA)
University of Ottawa
New Graduate Program
Considered for Funding Eligibility**

On October 28, 1992, the University of Ottawa requested that Council consider its new Master's degree program in International Business Administration (IMBA) for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 16, 1992.

2. Societal Need and Student Demand

The purpose of the International Business Administration program is to provide students with the analytical skills, knowledge, communication skills and experience necessary to undertake careers in business in an international context.¹ The curriculum is composed of specialized courses in international business in French and English, and an international internship component provides students with compulsory practical experience in an international business milieu. Students must be Bilingual to be admitted to the program. The program is one year in duration and commences upon a student's completion of the first year of a regular MBA program.

The University of Ottawa argues that the globalization of the world economy has substantially increased the need for business firms to hire individuals with comprehensive training in international business and management.

The Academic Advisory Committee reviewed a variety of letters from potential employers attesting to the societal need for program graduates. For example, the President of RockCliffe Research and Technology Inc., Stuart Smith, indicated:

Everyone knows by now the rate at which our economy is becoming part of a larger global entity and there are very few businesses, large or small, that can afford to be ignorant of the issues presented in your course outline...From the viewpoint of a large business with a sizeable multi-national presence, your graduates should be very attractive recruits...²

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1. University of Ottawa, Submission to the Ontario Council on University Affairs: International MBA Program Funding, October, 1992, p. 1.
 2. Letter from Dr. Stuart L. Smith, President, RockCliffe Research and Technology Inc., to Professor Brigitte Lévy, Director, International MBA, University of Ottawa, September 17, 1992.

The timeliness of such a program, from the point of view of the business community, was stressed by the Chief Executive Officer of Strategico Inc. who stated:

The timing for such a program could not be more propitious. Given the high degree of export/investment dependence of Canada's economy, it is almost unthinkable that any business of any significance would not be led by highly trained, internationally oriented managers. Nonetheless, we have been slow to rise to the challenge....

Recently, we have concluded the Canada-USA Free Trade agreement...and, in the past few weeks, a proposed North American Free Trade Agreement. Meanwhile, work is progressing on another round of multilateral negotiations under the General Agreement on Tariffs and Trade. These vitally important trade policy initiatives do two things: they lay the basis for substantial expansion of trade and investment relationships with the United States, Mexico and other countries; and, they highlight the central importance of successfully exploiting these opportunities for international business.

...the proposed MBA (International) is well designed to respond to these requirements.³

The relevance of the program was noted by a representative of the Institut de recherche en politiques publiques who wrote:

C'est une des propositions les plus pertinentes que j'ai vues depuis plusieurs années. C'est une évidence en effet que les activités des entreprises s'internationalisent ou se mondialisent à un rythme extrêmement rapide. Cette tendance se traduit par une présence et une implication de presque toutes les entreprises sur des marchés hors frontière. Et ce qui est nouveau c'est que cette implication va bien au delà des échanges commerciaux: on s'implique sous forme d'investissement direct, d'échanges de technologie, d'alliances, d'acquisitions et ainsi de suite.

Il s'ensuit qu'il est absolument essentiel de fournir une formation de type international aux futurs gestionnaires qui seront tous appelés à travailler au niveau mondial au sein des entreprises de demain.⁴

The societal need for program graduates was also verified by the Business Council on National Issues which indicated:

The focus and curriculum appear well-tailored to meet the need of Canadian employers for graduates with a solid grounding in international business coupled with a knowledge of more than one major language. At the same time, the decision to ensure that approximately half of the students enrolled in the program are drawn from other countries should enrich the educational experience of the Canadian

3. Letter from Mr. Gordon Ritchie, Chief Executive Officer, Strategico Inc., to Professor Brigitte Lévy, Director, MBA (International), University of Ottawa, September 29, 1992.

4. Letter from Mr André Raynauld, O.C., Institut de recherche en politiques publiques, Montréal, Québec, to Professeur Brigitte Lévy, Director, MBA International, University of Ottawa, September 16, 1992.

students, and help to provide international business contacts for Canadian companies and future Canadian entrepreneurs and managers.

The practical, hands on approach of the program is another strength. The courses on Global Marketing, International Accounting, and International Business contracts should be particularly useful for students who wish to become actively involved in export sales or other types of international business transactions.⁵

The University of Ottawa also provided the Committee with a variety of examples of advertised positions for which program graduates would be qualified, including managerial positions in locations such as Romania, Philippines, France, Japan, Russia, Switzerland and Mexico, as well as numerous positions within North American firms that operate internationally.⁶

The University of Ottawa currently offers an emphasis on international business within the existing MBA program. Student demand for this field of study is significant. For example, in 1991-92, the University of Ottawa received 500 requests for information and 150 complete applications for the international field of study. Only 30 students could be admitted.

The University expects to achieve the steady-state admission level of between 40 and 50 students in the first year of the proposed International MBA program without difficulty. Half of the students to be admitted will come from abroad, in order to create a truly international atmosphere within the program.

The only similar program available in Ontario is offered by York University (Int'l MBA). Despite some distinguishing characteristics,⁷ the program proposed by the University of Ottawa is not unique. However, the Academic Advisory Committee believes that any duplication of the program offered by York University is justifiable in view of the evidence of the long-term and growing societal need for program graduates, the high degree of student demand for such programs and the fact that the two programs provide access in two distinct regions of the province.

The Academic Advisory Committee is, therefore, satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The Academic Advisory Committee notes that the proposed IMBA program represents the transformation of an existing MBA field into a stand-alone option of one year in duration. The program builds on existing faculty and research strengths in business administration and requires no additional teaching resources or facilities.

The program is consistent with the University of Ottawa's mandate to provide Bilingual programming and has been part of the University's five-year graduate plan since 1992.

The Academic Advisory Committee is satisfied that the proposed IMBA program in International Business Administration is consistent with the aims, objectives and existing strengths of the University of Ottawa.

5. Letter from Mr. Thomas d'Aquino, President and Chief Executive, Business Council on National Issues, to Professor Brigitte Lévy, Director, MBA (International), University of Ottawa, September 29, 1992.

6. University of Ottawa, Op. cit., Appendix C: Letters from Potential Employers and Career Opportunities.

7. Ibid., see Appendix D: Other Programs Offered in the System, letter from Mr. David Fowler, Director, Int'l MBA Program, York University, to Ms. Brigitte Lévy, Director, MBA (International Field), University of Ottawa, September 11, 1992.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master's degree program in International Business Administration at the University of Ottawa be recommended by Council for funding eligibility.

Academic Advisory Committee

December 4, 1992

COMITÉ CONSULTATIF DES AFFAIRES FRANCOPHONES

**Programme de maîtrise en administration internationale(M.B.A.I.)
Université d'Ottawa**

**Nouveau programme bilingue de deuxième cycle
présenté pour admissibilité au financement**

Le 17 novembre 1992, le Conseil ontarien des affaires universitaires (COAU) a demandé au Comité consultatif des affaires francophones (CCAF) de se prononcer sur la proposition de programme bilingue de maîtrise en administration internationale (MBAI) élaborée par l'Université d'Ottawa. Tel que le veut son mandat, le CCAF s'est en particulier demandé si le programme proposé répond aux besoins de la population franco-ontarienne. Le CCAF a acheminé à l'institution proposant le programme une demande de renseignements additionnels. Ces renseignements ayant été fournis, sur recommandation de son groupe de travail sur les programmes d'études, le CCAF a entériné la position énoncée ci-dessous.¹

1. Adéquation du programme

a) Spécificité du programme proposé par rapport aux autres programmes déjà existants dans l'institution et ailleurs en Ontario.

Seule l'Université York offre un programme de MBAI en Ontario. Les caractéristiques des deux programmes semblent cependant significativement différentes.

b) Efforts pour coordonner le programme proposé avec d'autres départements, facultés et institutions (synergie)

Comme on doit s'y attendre dans le cadre d'un programme de ce type, les collaborations annoncées par l'Université d'Ottawa dans sa proposition sont davantage orientées vers des intervenants dans d'autres pays. Cette approche semble appropriée.

c) L'environnement humain, physique, social et culturel

L'Université d'Ottawa accueille déjà un nombre significatif d'étudiants et d'étudiantes de langue française. Elle est de plus déterminée à améliorer le milieu de vie pour sa clientèle étudiante de langue française. L'environnement est donc approprié pour offrir un tel programme pour des étudiants francophones. De plus, le milieu gouvernemental environnant, dans la capitale nationale, et la présence de nombreuses ambassades et organismes internationaux constituent des attraits additionnels pour un tel programme.

d) L'utilisation des forces francophones actuelles de l'institution

L'Université affirme, dans sa réponse à la demande de renseignements additionnels, que 20 professeurs sur 28 (parmi les membres du corps professoral de la Faculté d'administration qui peuvent enseigner au MBA International) peuvent enseigner en français.

1. Il importe de noter que les critères utilisés dans ce document représentent ceux qui seront utilisés par le Comité pour ses avis suivants. Le Comité a élaboré une liste de critères permanents pour l'évaluation de demandes futures. Cette grille d'évaluation a été acceptée par le Ministre et apparaîtra dorénavant dans le manuel de procédures du COAU.

e) Collaboration, partenariat et utilisation des ressources déjà disponibles en Ontario pour desservir la population franco-ontarienne

À cause de sa nature, ce programme est davantage tourné vers la réalité internationale que vers les besoins de la communauté locale. Les appuis francophones au programme présentés à l'appui de la demande proviennent surtout du Québec et démontrent que le programme répondra à un besoin. Cependant, la démonstration de l'appui de la communauté franco-ontarienne n'est pas faite.

f) Le mode de gestion du programme

Le programme est géré par la Faculté d'administration, et à ce titre, doit donc répondre à la politique en vigueur à l'Université d'Ottawa qui veut que les directions de programmes d'études ou d'unités scolaires doivent, sauf dans des cas exceptionnels, être bilingues. Le CCAF suppose que l'Université fera les efforts nécessaires pour s'assurer que la direction du programme est assurée par du personnel capable de travailler en français.

2. Degré auquel le programme répond aux besoins de la société franco-ontarienne

a) Formation de personnel qualifié requis par la communauté franco-ontarienne

Le Comité est satisfait de la démonstration du besoin du programme du point de vue des employeurs potentiels, compte tenu des lettres fournies et des offres d'emploi retracées dans les journaux.

b) Préparation aux études aux cycles supérieurs (le cas échéant)

Le programme se propose de former des professionnels. Ce critère semble donc ne pas s'appliquer dans le cas de ce programme.

c) Développement de la recherche de pointe et formation de chercheurs et de chercheurs

La même remarque peut être faite qu'au point précédent.

d) Ouverture sur d'autres disciplines (le cas échéant)

La multidisciplinarité et l'ouverture sur d'autres disciplines semblent assurées par la grande variété des cours offerts et surtout par la diversité des possibilités de stages. Dans sa réponse à la demande de renseignements additionnels, l'Université d'Ottawa précise d'ailleurs que ces stages pourront être faits dans des pays francophones, si les étudiants le désirent, possibilité que le Comité apprécie.

e) Contribution au dynamisme et au développement de la vie française en Ontario

Le Comité est d'accord avec l'affirmation de l'Université que la communauté franco-ontarienne a tout à gagner à ce que l'Université d'Ottawa donne à de jeunes francophones une possibilité de plus d'acquérir, en utilisant leur langue, une formation supérieure dans un domaine de pointe".

3. Demande étudiante franco-ontarienne pour la création du programme

a) Demande absolue - prévision d'effectifs parmi les francophones de l'Ontario

La demande potentielle est bien analysée et les demandes d'inscription reçues nous laissent croire que la clientèle sera au rendez-vous. Un nombre impressionnant de demandes d'informations ont été reçues, permettant d'envisager une viabilité probable du programme. Le besoin pour le programme nous apparaît sérieux.

b) Pertinence du mode de prestation du programme pour rejoindre la clientèle-cible
Comme indiqué dans les lettres d'appui, la formule du programme, concentré en un an avec le stage à la fin, semble destiné à attirer une clientèle certaine.

4. État des démarches initiales d'implantation du programme

Ce programme existe déjà à l'intérieur du programme de MBA actuel. La transition vers un programme à part entière ne devrait pas poser de problèmes.

5. Caractère innovateur du programme

Le bilinguisme intégral du programme et son mode de prestation en font un programme innovateur sur la scène ontarienne. Il devrait permettre à davantage de francophones de l'Ontario de se diriger vers l'administration internationale, domaine en expansion.

6. Recommandation

Le Comité consultatif des affaires francophones (CCAF) recommande au Conseil ontarien des affaires universitaires (COAU) que

le nouveau programme de maîtrise en administration internationale (MBAI) proposé par l'Université d'Ottawa soit recommandé par le Conseil pour l'admissibilité au financement.

Le Comité consultatif des affaires francophones

Le 11 février 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Nursing (MScN)
University of Ottawa**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, the University of Ottawa requested that Council consider its new Master of Science (MScN) program in Nursing for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 16, 1992.

2. Societal Need and Student Demand

The proposed Master of Science program in Nursing offers two areas of concentration: Primary Health Care which includes health promotion, illness prevention and the provision of essential first level care; and Tertiary Health Care which is a specialized area of health care encompassing both acute and critical illness.¹ The goal of the program is to develop clinical nurse specialists who, through study and supervised clinical practice at the graduate level, become expert in a specific area of applied nursing science and have a beginning competence in nursing research.²

The program will be offered in both English and French and examinations, assignments and a thesis may be written in either language.

The University of Ottawa indicates that the scope of nursing knowledge and practice has been expanding in response to population needs, societal demands and advances in technology. As a result, there is a long-term and growing societal need for nurses with an advanced education, capable of assessing complex client needs, evaluating the cost effectiveness of nursing practice methods, identifying deficiencies in the delivery of health care, exploring new methodologies for nursing practice, identifying effective strategies for health promotion and evaluating client health outcomes.³

1. University of Ottawa, School of Nursing, Faculty of Health Sciences, Request for Funding: Master of Science in Nursing, October, 1992, p. 1.

2. Ibid.

3. Ibid., p. 4.

In addition, the larger movement from hospital to community-based care, supported by the Ontario Ministry of Health, requires that nurses be prepared to practice independently. The advanced knowledge and skills required to meet this shift in the focus of health care efficiently and effectively will be obtained by nurses through graduate programs in nursing.⁴

The Academic Advisory Committee reviewed an array of letters from potential employers of program graduates such as hospitals, community agencies and academic institutions which verified the societal need for Master's-level prepared nurses in Northeastern and Eastern Ontario.

For example, the Ottawa Civic Hospital identified a number of positions which it would be seeking to fill with Master of Science in Nursing graduates:

The need for nurses to be prepared at the Master's level in NURSING within the nursing community and outside the Ottawa area is critical. There is a need to integrate practice, education and research within nursing to ensure that the quality of patient care continues to improve within declining resources and to provide the solid research base required for the profession of nursing. It is through a greater number of nurses prepared at the Master's level that we will successfully move in this direction.

At the Ottawa Civic Hospital the Head Nurse is one of the most important roles. It would be most appropriate to employ Masters prepared nurses in these critical positions...

The Division of Nursing is in the process of planning for the implementation of the Clinical Nurse Specialist role. It is the Clinical Nurse Specialist who indeed integrates the research, education and practice elements of nursing. One of the difficulties facing our hospital is the lack of Masters prepared nurses within the Ottawa community to meet the requirements for this position. Development of a graduate nursing program at the University would facilitate the Ottawa Civic Hospital in meeting this requirement. There will be significant mutual gain to both the hospital and the University with the development of this role.

Another position for which a Masters degree is required is the Director of Nursing. It is often difficult to find the appropriate candidate when the "pool" of M.Sc.N. nursing managers is so limited.⁵

Numerous letters also attested to the specific need for Francophone nurses prepared at the Master's level. For example, the Assistant Director-General of Nursing at Montfort Hospital in Ottawa stated:

Depuis la venue de la loi 8 en particulier, plusieurs hôpitaux désignés bilingues, comme le nôtre, se préoccupent de la pénurie alarmante d'infirmières et d'infirmiers habilités non seulement à offrir des services en français mais aussi formés à faire de la recherche sur la qualité et l'efficacité de ces services.⁶

4. Ibid.

5. Letter from Ms Wendy Nicklin, Vice-President, Nursing, Ottawa Civic Hospital, to Dr. Denise Alcock, Faculty of Health Sciences, University of Ottawa, April 19, 1990.

6. Letter from Ms. Pauline Bastarache, Directrice générale adjointe, Soins infirmiers, Montfort Hospital, Ottawa, to Ms. Denise Alcock, Faculty of Health Sciences, University of Ottawa, September 17, 1992.

The University of Ottawa indicates that the dearth of Francophone nurses prepared at the Master's level has contributed to some of the long-standing vacancies for Master's prepared nurses in the area such as those within the Ottawa-Carleton Teaching Health Unit, the Sudbury Teaching Health Unit and in the Clinical Nurse Specialist positions designated as Bilingual in tertiary care settings.

The proposed program will also provide enhanced accessibility for nurses working in Eastern and Northern Ontario who are seeking professional development opportunities. As noted by the Children's Hospital of Eastern Ontario:

At present nurses who wish to obtain their Masters in Nursing must commute on a daily basis to McGill University in Montreal or to switch to another program (ie. Education or Health Care Administration).

The establishment of the Master's Program will encourage nurses to select a career path in nursing, rather than to feel obliged to switch to another field because of a lack of an opportunity to study or contribute to the profession which they have chosen.⁷

Additional letters attesting to the societal need for program graduates were provided by a variety of organizations including the Ottawa-Carleton Health Department, Saint-Vincent Hospital, Ottawa General Hospital, Royal Ottawa Hospital, Sudbury and District Health Unit, and Health and Welfare Canada.⁸

The Academic Advisory Committee notes that the Master of Science program in Nursing at the University of Ottawa will be the only graduate program in Nursing in Ontario that will provide the opportunity to take such courses and complete a thesis in the French language. The two existing programs, offered by the University of Western Ontario and the University of Toronto, both attested to the need for a third such program in the province. The University of Western Ontario indicated that the focus of its program was on preparing nurse educators and administrators; therefore, it was "unlikely that the consequence of mounting your program would be reduced enrolment in our current program, because students who enter our program have different career goals."⁹ The University of Toronto strongly supported the establishment of the proposed program on the basis of societal need:

It is absolutely critical that more master's degree programs become available to nurses in Ontario. The fact that there are only two programs currently available, one at the University of Toronto and the other at the University of Western Ontario, severely limits access to nurses in other parts of Ontario. As well, 95% of nurses are women, which means that they experience more limitations on their ability to relocate to seek graduate education than do most men. The University of Ottawa program will go a long way to providing access to nurses in the northeastern and eastern part of Ontario.

7. Letter from Ms Elizabeth Kannon, Vice-President, Nursing Services, Children's Hospital of Eastern Ontario, to Dr. D. Alcock, Associate Dean (Nursing), Faculty of Health Sciences, University of Ottawa, March 20, 1990.

8. University of Ottawa, Op. cit., See Appendix 3: Letters of Support.

9. Letter from Ms Lillian Bramwell, Dean, Faculty of Nursing, The University of Western Ontario, to Dr. Denise Alcock, Faculty of Health Science, University of Ottawa, August 27, 1992.

The University of Ottawa has chosen to commence a graduate program with a master of science degree that requires a thesis. This is probably the best choice because it does allow graduates of the program to go on to doctoral education. This will have a long-term benefit for nursing research and the production of faculty members for schools of nursing.¹⁰

The proposed program was reviewed and supported by the Ministry of Health, which stated:

...the MSc program in nursing at the University of Ottawa would contribute to the staffing of academic departments of nursing and to the development of nursing research in the province.¹¹

The Academic Advisory Committee also reviewed letters from the Registered Nurses Association of Ontario, the Canadian Association of University Schools of Nursing, and the Victorian Order of Nurses for Canada, which indicated that the proposed program was strongly supported by each of these professional associations.¹²

Student demand for the proposed program appears significant. The Academic Advisory Committee reviewed a number of letters from individuals seeking to undertake the program at the University of Ottawa, as well as indications from a number of employers that a substantial number of their current employees were interested in enrolling in the program.¹³

The University of Ottawa indicates that it has received over 60 requests for applications in response to the, as yet, unadvertised program. Requests have come from nurses currently working in community health, tertiary care and educational agencies. An increasing number of requests have been received from Francophone nurses, many of whom are graduates of the Francophone Baccalaureate Nursing programs at the University of Ottawa and Laurentian University.

The University intends to admit only full-time students during the first two years of the program in order to facilitate its implementation. As a result, six full-time students will be admitted in year 1, eight students in year 2, 12 full-time and six part-time students in year three, 14 full-time and 10 part-time in year 4, and 16 full-time and 11 part-time students in year 5 of the program. The steady-state total enrolment level in year five of the program is projected to be 30 full-time students and 20 part-time students.¹⁴

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10. Letter from Dr. Dorothy Pringle, Dean, Faculty of Nursing, University of Toronto, to Dr. Denise Alcock, Associate Dean, Nursing, Faculty of Health Sciences, University of Ottawa, February 18, 1991.
 11. Memorandum from Ms Linda Tennant, Manager, Health Human Resources Policy, Health Human Resources Planning, Policy and Programs Branch, Ministry of Health, to Ms Elaine Hykawy, Manager, Health Sciences Unit, Policy and Programs Branch, Ministry of Colleges and Universities, January 28, 1993.
 12. University of Ottawa, Op. cit., See Appendix 4: Letters of Support from Other Universities in Ontario Providing an MScN Program and from National and Provincial Nursing Organizations.
 13. For example, the Ottawa Civic Hospital noted that "a minimum of 10 nurses are interested in the Masters Program on a full-time basis, and 11 nurses on a part-time basis. These numbers are conservative estimates." Letter from Ms. Wendy Nicklin, September 8, 1992.
 14. University of Ottawa, Op. cit., p. 7.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed program is situated within the Faculty of Health Sciences at the University of Ottawa. Within the same Faculty is found the School of Human Kinetics and programs in Occupational Therapy, Physiotherapy, Speech Therapy and Audiology. Additional collaborative relationships have been formed with the Faculties of Education and Administration. The library and faculty necessary to offer the program are already in place.

The program was developed in the context of a strategic planning exercise undertaken by the University of Ottawa Health Sciences Complex which included the Faculties of Health Sciences and Medicine, the five teaching hospitals in the surrounding region, community representation and the District Health Council. The program has been included in the University's five-year graduate plan since 1989.

The University of Ottawa indicates that the professors in the School of Nursing are associated, clinically or through collaborative research projects, with all teaching and community health care agencies in the Ottawa-Carleton region and several in the Eastern Ontario region, as well as with facilities for long-term care and with international and national health related agencies.¹⁵ The School of Nursing currently holds 75 affiliation agreements with clinical agencies for the education of students, including teledistance sites for post-RN students. The University states that these well established links with regional primary and tertiary health care agencies, including an extensive involvement with collaborative research, will provide the proposed program with a solid base for graduate student research.¹⁶

The Academic Advisory Committee notes that the proposed program is completely consistent with the University of Ottawa's role as a Bilingual and bicultural university in Ontario.

The Academic Advisory Committee is satisfied that the proposed Master of Science program in Nursing is consistent with the aims, objectives and existing strengths of the University of Ottawa.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Science program in Nursing at the University of Ottawa be recommended by Council for funding eligibility.

Academic Advisory Committee

December 4, 1992

15. Ibid., p. 8.

16. Ibid.

COMITÉ CONSULTATIF DES AFFAIRES FRANCOPHONES

**Programme de maîtrise en sciences infirmières (M.Sc.)
Université d'Ottawa**

**Nouveau programme de langue française de deuxième cycle
présenté pour admissibilité au financement**

Le 17 novembre 1992, le Conseil ontarien des affaires universitaires (COAU) a demandé au Comité consultatif des affaires francophones (CCAF) de se prononcer sur la proposition de programme bilingue de maîtrise en sciences infirmières élaborée par l'Université d'Ottawa. Tel que le veut son mandat, le CCAF s'est en particulier demandé si le programme proposé répond aux besoins de la population francoontarienne. Le CCAF a acheminé à l'institution proposant le programme une demande de renseignements additionnels. Ces renseignements ayant été fournis, sur recommandation de son groupe de travail sur les programmes d'études, le CCAF a entériné la position énoncée ci-dessous.¹

1. Adéquation du programme

a) Spécificité du programme proposé par rapport aux autres programmes déjà existants dans l'institution et ailleurs en Ontario.

Le programme proposé existe déjà en Ontario, mais en anglais seulement et dans d'autres régions que l'Est ontarien. Le programme est donc suffisamment spécifique par rapport aux autres programmes existants.

b) Efforts pour coordonner le programme proposé avec d'autres départements, facultés et institutions (synergie)

Le programme proposé bénéficie d'appuis d'autres unités dans l'institution au niveau de la recherche mais l'offre de collaboration formelle semble se limiter à celle de l'Institut de cardiologie de l'Hôpital Civique, et de l'Hôpital pour enfants de l'Est de l'Ontario. Une collaboration est offerte par l'Hôpital Monfort, hôpital désigné en vertu de la Loi sur les services en français, dans les lettres d'appuis, collaboration qui devrait s'avérer particulièrement significative pour la communauté franco-ontarienne. Une collaboration est envisagée avec l'Université Laurentienne mais cette collaboration n'est pas explicitée dans le projet actuel. Le CCAF encourage l'Université d'Ottawa à poursuivre ses démarches en ce sens, afin de voir s'il est possible de mieux desservir la population francophone du Nord de l'Ontario.

c) L'environnement humain, physique, social et culturel

L'environnement bilingue que constitue l'Université d'Ottawa semble approprié pour offrir le programme. D'une façon particulière, la faculté des sciences de la santé offre déjà (ou offrira bientôt) plusieurs programmes en français en sciences infirmières, en ergothérapie et physiothérapie, en sciences de l'activité physique, en orthophonieaudiologie et en gérontologie.

1. Il importe de noter que les critères utilisés dans ce document représentent ceux qui seront utilisés par le Comité pour ses avis suivants. Le Comité a élaboré une liste de critères permanents pour l'évaluation de demandes futures. Cette grille d'évaluation a été acceptée par le Ministre et apparaîtra dorénavant dans le manuel de procédures du COAU.

L'ensemble de ces programmes au sein d'une même faculté assure la présence d'une 'masse critique francophone' dont le dynamisme ne peut que contribuer à enrichir l'expérience d'apprentissage des futurs étudiants et étudiantes.

d) L'utilisation des forces francophones actuelles de l'institution

Le nouveau programme se propose de bâtir sur les acquis actuels du programme de baccalauréat en sciences infirmières en français en plus d'être offert, comme mentionné précédemment, au sein d'une faculté déjà dynamique dans son aspect francophone. L'Université d'Ottawa admet que le corps professoral accuse 'un déséquilibre quant au nombre respectif de professeur(e)s anglophones et francophones possédant un doctorat'. Par contre, un plan de formation doctorale du corps professoral est en place, de sorte que la situation devrait être corrigée d'ici 1995/1996. Le CCAF tient à souligner l'attention portée par l'institution à ce déséquilibre et considère très positives les mesures de redressement mises en place. Dans ce sens, et compte tenu de l'approbation donnée par le Conseil ontarien des études supérieures, cet aspect ne devrait pas faire problème. Le CCAF reconnaît que le problème du recrutement de professeurs possédant un doctorat constitue un défi difficile à relever. Cependant, vu l'importance de ce facteur, le CCAF suggère au Ministre que l'Université d'Ottawa soit appelée dans cinq ans à démontrer que le plan a été respecté. Cette démonstration devrait être faite à la satisfaction du Ministre et/ou du CCAF.

e) Collaboration, partenariat et utilisation des ressources déjà disponibles en Ontario pour desservir la population francoontarienne

La proposition de programme fait mention des besoins de personnel possédant un diplôme de deuxième cycle en sciences infirmières dans le Nord de la province. Deux lettres d'appui proviennent du Nord de la province (service de santé publique de Sudbury, École des sciences infirmières de l'Université Laurentienne) mais les liens de ces institutions avec le nouveau programme semblent ténus. Encore une fois, le CCAF souhaiterait que dans le développement du nouveau programme, il soit tenu davantage compte des besoins du Nord.

f) Le mode de gestion du programme

Dans la réponse de l'Université d'Ottawa à la demande de renseignements additionnels, il est précisé que le programme sera dirigé par une directrice adjointe responsable des volets francophone et anglophone et que la politique en vigueur à l'Université d'Ottawa veuille que les directions de programmes d'études ou d'unités scolaires doivent, sauf dans des cas exceptionnels, être bilingues. Le CCAF suppose que l'Université fera les efforts nécessaires pour s'assurer que la direction du programme est assurée par du personnel capable de travailler en français.

2. Degré auquel le programme répond aux besoins de la société franco-ontarienne

a) Formation de personnel qualifié requis par la communauté franco-ontarienne

Ce point ne semble faire aucun doute, des infirmiers et infirmières diplômés de deuxième cycle et parlant français sont requis dans les hôpitaux de la province et dans les services de santé communautaires. De même la formation d'enseignants et d'enseignantes francophones pour les collèges et universités de la province est une nécessité. Les lettres d'appui l'indiquent bien et, bien que des projections d'embauche quantifiées ne soient pas fournies à l'appui de la demande, les prévisions d'inscriptions francophones semblent être planifiées en fonction d'une demande professionnelle raisonnable.

b) Préparation aux études aux cycles supérieurs (le cas échéant)

On peut supposer que le programme vise avant tout à former des professionnels et des professionnelles prêts à oeuvrer sur le marché du travail. Cependant, l'Université d'Ottawa, dans sa réponse à la demande de renseignements additionnels précise que les diplômés et diplômées du programme seraient par exemple admissibles au doctorat offert conjointement en français et en anglais par l'Université de Montréal et l'Université McGill. Compte tenu des taux de participation particulièrement faible des francophones de l'Ontario aux études de troisième cycle, il est à souhaiter que les étudiants et étudiantes francophones capables et désireux de le faire soient encouragés à poursuivre leurs études au troisième cycle. Ceci aurait d'ailleurs un impact probable sur le corps professoral de l'Université d'Ottawa elle-même puisque d'éventuels diplômés et diplômées de troisième cycle pourraient y revenir à titre de membres du corps enseignant, ce qui apporterait une solution à plus long terme au déséquilibre entre professeurs francophones et anglophones possédant un doctorat, déséquilibre d'ailleurs reconnu par l'Université.

c) Développement de la recherche de pointe et formation de chercheurs et de chercheuses

On peut noter que la composante "recherche" de ce programme est assez importante. Un cours en méthodologie de la recherche est obligatoire et tout étudiant doit soumettre une thèse qui suppose une recherche originale. L'approbation du programme par le Conseil ontarien des études supérieures assure la qualité du programme de recherche associé au nouveau programme d'études. Bien entendu, le déséquilibre noté plus haut entre professeurs francophones et anglophones possédant un doctorat pourrait handicaper le volet francophone de la recherche au début du programme. Toutefois, le plan de formation doctorale du corps professoral francophone mentionné plus haut devrait rétablir la situation au cours des prochaines années.

d) Ouverture sur d'autres disciplines (le cas échéant)

Dans sa réponse à la demande de renseignements additionnels, l'Université d'Ottawa précise que les cours à option que choisiront les étudiants pourront entre autres permettre à ces derniers de "se donner d'autres moyens de mieux se préparer à ajuster [leur] pratique professionnelle aux réalités spécifiques de la collectivité francophone de l'Ontario". On précise que les cours pertinents sont disponibles en français à l'Université d'Ottawa. Cette réponse satisfait pleinement le Comité.

e) Contribution au dynamisme et au développement de la vie française en Ontario

Le groupe des infirmières et des infirmiers francophones de l'Ontario accorde un soutien inconditionnel au projet, affirmant que ce programme est "absolument nécessaire". L'Université affirme que le programme contribuera à former une partie du personnel de haut niveau qui animera et gèrera les services infirmiers des centres hospitaliers et communautaires. Le Comité est d'accord que "C'est certainement là une bonne façon de s'assurer, qu'à long terme, la planification des activités de ces centres tiendra compte des besoins des francophones de l'Ontario."

3. Demande étudiante franco-ontarienne pour la création du programme

a) Demande absolue - prévision d'effectifs parmi les francophones de l'Ontario

Les prévisions d'effectifs, telles que fournies dans la réponse de l'Université d'Ottawa à la demande de renseignements additionnels, semblent réalistes.

b) Pertinence du mode de prestation du programme pour rejoindre la clientèle-cible

L'accent mis sur les deux 'types' de clientèle (temps plein et temps partiel) permettra aux infirmières déjà sur le marché du travail de revenir aux études, à leur choix, soit à temps complet, soit à temps partiel en conservant leur emploi. La possibilité d'étudier à temps partiel devrait aider à accroître l'accessibilité aux études universitaires, ce qui mérite d'être souligné

4. État des démarches initiales d'implantation du programme

Dans sa réponse à la demande de renseignements additionnels, l'Université d'Ottawa précise son échéancier comme suit : le volet francophone du programme serait ouvert en 1994 et le programme atteindrait sa maturité en termes de clientèle étudiante en 1996-1997. Cet échéancier semble réaliste et justifie qu'une révision spécifique du volet francophone soit conduite dans cinq ans, soit en 1998.

5. Caractère innovateur du programme

Il ne fait donc pas de doute que le programme réponde à un besoin social dans la communauté franco-ontarienne. La décision de privilégier des spécialisations ancrées dans la réalité sociale et les besoins d'aujourd'hui en font un programme justifié socialement. Par ailleurs, bien que tourné vers la formation professionnelle, le programme fait une large place à la recherche. Cette combinaison est très intéressante.

L'offre du programme à temps partiel est également une innovation notable puisqu'il permettra à des clientèles habituellement tenues à l'écart des études universitaires (soit les gens déjà sur le marché du travail) de poursuivre des études supérieures.

Par ailleurs, le CCAF ne peut qu'encourager les responsables du programme à poursuivre leurs efforts de liaison avec la population francophone du Nord de l'Ontario, et à mettre sur pied des approches innovatrices afin de s'assurer que les besoins de cette région puissent aussi être éventuellement comblés. L'intention de mettre à contribution le réseau franco-ontarien d'enseignement à distance qui est en voie d'implantation est particulièrement louable à ce chapitre.

6. Recommandation

Le Comité consultatif des affaires francophones (CCAF) recommande au Conseil ontarien des affaires universitaires (COAU) que

le nouveau programme de maîtrise en sciences infirmières proposé par l'Université d'Ottawa soit recommandé par le Conseil pour l'admissibilité au financement.

Le Comité consultatif des affaires francophones

Le 11 février 1993

Appendix M

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Audiologie et Orthophonie (MScS)
University of Ottawa
(Orthophonie joint with Laurentian University)**

**New Graduate Programs
Considered for Funding Eligibility**

On October 28, 1992, the University of Ottawa requested that Council consider its new *Maîtrise en Sciences de la Santé* programs in Audiologie and Orthophonie¹ for funding eligibility. Council, according to established procedures, referred the programs to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that these programs passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the programs did not require any improvements. The programs were approved to commence on January 17, 1992.

2. Societal Need and Student Demand

The purpose of these programs is to train health professionals capable of working in French in Ontario. The Speech-Language Pathology stream would train clinicians capable of diagnosing, evaluating and treating all aspects of speech and language difficulties. The Audiology stream would train clinicians capable of diagnosing, evaluating and treating all aspects of auditory difficulties including those resultant from aging, industrial factors, and neurological factors. Graduates of both streams would have theoretical and practical exposure and would be capable of integrating research with clinical work.²

Both programs will be unique in Ontario, in that they will be taught in French.³ The Speech-Language Pathology stream will be offered jointly with Laurentian University, requiring some courses to be offered by distance education.

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1. Master of Health Science programs in Audiology and Speech-Language Pathology.
 2. University of Ottawa, Maîtrise en orthophonie/audiologie: Université d'Ottawa, avec volet en orthophonie conjoint avec l'Université Laurentienne, October 1992, Annexe F, Prospectus.
 3. Ibid., p. 7.

The Academic Advisory Committee notes that the programs were endorsed by both the Canadian Association of Speech-Language Pathologists and Audiologists and the Ontario Association of Speech-Language Pathologists and Audiologists.⁴

The societal need for program graduates is national in scope. As indicated by the Canadian Association of Speech-Language Pathologists and Audiologists (CASLPA):

CASLPA has held many discussions in the past with practising professionals, employing agencies and federal government officials regarding the shortage of professionals and the severely limited facilities in Canada for the training of Audiologists and Speech-Language Pathologists. Data from the CASLPA Demographics Survey indicates that hundreds of qualified students leave Canada annually to seek training in the United States. In 1988, a report of the Federal/Provincial Advisory Committee on Health Human Resources in Canada documented a chronic and critical shortage of Speech-Language Pathologists and Audiologists, with a projected increase over the next decade. The situation in 1992 has not changed and our seven existing programs are insufficient to meet the need in Canada. It is clear that Canada is not only lacking sufficient qualified professionals but is also severely limited in its ability to generate new professionals to meet the current and projected needs.⁵

Detailed statistical information provided by the University of Ottawa⁶ indicates that, in Ontario specifically, the shortage of speech-language pathologists and audiologists is also significant and growing. In 1986, there was on average one speech-language pathologist to serve every 12,242 Ontarians. The ratio recommended by the American Speech and Hearing Association is one clinician per 5,000 persons. Similarly, the Association recommends that there be one audiologist for every 30,000 persons. In 1986, Ontario was providing services on the basis of one audiologist for every 45,909 persons. The shortage of services in French is even more severe than for those offered in English - the most critical shortage is of French/Bilingual clinicians in the Northern regions of the province.

More specifically, Bill 8, the French Language Services Act, 1986, has recently exacerbated the existing shortage of qualified Francophones needed to meet the ever-increasing societal need for speech-language pathologists and audiologists to provide such services in French in Ontario. The following letter from the Ottawa General Hospital typifies the situation in which employers seeking Bilingual clinicians find themselves:

...nous aimerions vous faire part du besoin urgent de former des orthophonistes/audiologistes capable de travailler en français en Ontario. Nos dossiers...démontrent que nous avons de la difficulté à recruter de tel(le)s professionne(le)s. Depuis 1988 nous avons affiché sept postes bilingues, soit en orthophonie ou en audiologie. Nous avons reçu 19 réponses, tous venant

4. Letter from Ms. Uta Stewart, President, The Canadian Association of Speech-Language Pathologists and Audiologists, September 14, 1992, and letter from Ms. Susan Menary, President, The Ontario Association of Speech-Language Pathologists and Audiologists, September 10, 1992, to Dr. Nicole Begin-Heick, Dean, School of Graduate Studies, University of Ottawa.

5. Letter from Ms. Uta Stewart, President, The Canadian Association of Speech-Language Pathologists and Audiologists, to Dr. Nicole Begin-Heick, Dean, School of Graduate Studies, September 14, 1992.

6. University of Ottawa, Op.cit., pp. 3 - 5.

d'unilingues anglophones...il est temps de mettre sur pied un programme de formation francophone pour les orthophonistes et audiologistes travaillant en Ontario. Nous...attendons avec impatience le moment où nous pourrions engager vos premiers gradués.⁷

The Committee noted that the shortage of Bilingual clinicians has often meant that Bilingual positions go unfilled or that these positions are filled by Anglophones. Saint-Vincent Hospital indicated that it was unable to find a Bilingual clinician and resorted to hiring an Anglophone who had agreed to extensive French-language training. The unsatisfactory elements of this kind of arrangement in areas such as speech-language pathology and audiology were noted as follows:

Given that the raw material of our profession is language, I feel it is extremely important that the clinicians serving a bilingual population possess a high level of competence in both languages. I hope that, with the launching of the program at Ottawa University, the recruiting and staffing problems which we have experienced in meeting the needs of the francophone population of Eastern Ontario will be alleviated.⁸

The Academic Advisory Committee also reviewed numerous letters of support for the proposed programs which pertained specifically to need for the joint offering of the Speech-Language Pathology program at Laurentian University. For example, the Nipissing District Separate School Board indicated:

Nous tenons à souligner la grande pénurie de personnes spécialisées en ce domaine dans toute la province, de façon plus particulière dans le nord. Présentement, nous bénéficions des services partagés d'une orthophoniste que l'Hôpital du Nipissing ouest a recruté de la France. Celle-ci se prête à rendre service à quelques trente jeunes de cette région. Evidemment, nous profitons également de la présence des Services Intégrés pour les Enfants du Nord (SIEN) qui offrent une gamme de services reliés à l'extérieur de North Bay et Sturgeon Falls. Eux aussi connaissent de grandes difficultés de recrutement à cause d'une absence aiguë de francophones qualifiés en orthophonie.⁹

In addition, the Committee reviewed a substantial number of letters documenting the societal need for the proposed programs from potential employers and users of Bilingual speech-language pathologists and audiologists such as Réseau nord, Sudbury; Hôpital Général Chapeau; Timmins and District Hospital; Laurentian Hospital; Cornwall General Hospital;

7. Letter from Ms. Linda J. Garcia, Director, Department of Audiology and Speech-Language Pathology and Ms. Marie Chartrand, Staffing Officer, Ottawa General Hospital, August 10, 1992.

8. Letter from Ms. Patricia Roberts, Director, Speech & Language Therapy, Saint-Vincent Hospital, Ottawa, to Dr. Andrée Durieux-Smith, Department of Audiology, CHEO, Ottawa, Ontario, August 21, 1992.

9. Letter from M. Roch A. LeBrun, Superintendent of Education, French Language Unit, Nipissing District Separate Schools, to Ms. Dyan Adam, Vice-rectrice adjointe, Laurentian University, August 17, 1992.

Queensway Carleton Hospital; Ottawa Civic Hospital - Department of Speech and Hearing Disorders; and the Elisabeth-Bruyère Health Centre - Audiology Services.¹⁰

Existing programs in Speech-Language Pathology are offered at the University of Toronto (MHS) and at the University of Western Ontario (MSc and MCLSc). The University of Western Ontario also offers a Master's program in Audiology (MSc and MCLSc). These programs are not offered in French, nor do they specialize in meeting the needs of the Franco-Ontario community regarding the training of clinicians and the provision of clinical services in French.

The need for the programs proposed by the University of Ottawa was strongly endorsed by the University of Toronto, which indicated:

At present, 20 graduates holding the M.H.Sc. degree from the University of Toronto enter the workforce annually. The University of Western Ontario has announced the phasing out of the baccalaureate in Communication Disorders and expects that after 1991, thirty speech and language pathologists per year will graduate from UWO. With the addition of the program at the University of Ottawa in 1993-94, 80 practitioners will enter the workforce annually. This number will ensure adequate provision of services without saturating of the workforce of practitioners in communicative disorders. The joint program at Ottawa/Laurentian is needed to meet the clinical needs of communicatively-impaired residents of this province.

With regard to the impact which a new program might have on the existing program in Speech Pathology at the University of Toronto, it would be expected that this would be minimal. From 1980 through 1992 our Department has received between 125-165 applications annually; most applicants have met all standards of entry requirements into the School of Graduate Studies. From these numerous applicants, only 20 are selected annually for the M.H.Sc. program at this university. Although about 20% of our student body is bilingual (Anglophone and Francophone) we would not anticipate a significant variance in the ratio of unilingual to bilingual students in our program in the future.¹¹

The University of Western Ontario indicated that

This program would provide access in their province of residence for Ontario francophone students to professional training in communicative disorders. French speaking students must now seek professional training in this field either in English or attend a French language program in other provinces or countries...[it would] provide a pool of professionals to deliver services in French to the francophone population of Ontario...[and would] provide a potential long-term solution to the problem of under service for persons with communicative disorders in particular geographical regions of Ontario. Under-served areas in northern and eastern

10. University of Ottawa, Op. cit., See Annexe B, "Lettres d'Appui d'Employeurs"

11. Letter from Ms. Paul Square, Chair, Graduate Department of Speech Pathology, Faculty of Medicine, University of Toronto, to Dr. Nicole Begin-Heick, Dean, School of Graduate Studies, University of Ottawa, September 21, 1992.

Ontario have large concentrations of French speaking people in their population base.¹²

The Academic Advisory Committee noted that the University of Western Ontario also expressed some concerns regarding the impact of the proposed programs on the level of Francophone students applying to their program and the number of practicum placement opportunities for students of The University of Western Ontario in the northern and eastern regions of the province. There were also some concerns about the University of Ottawa's ability to staff the programs with French-speaking faculty. However, documentation provided by the University of Ottawa addressed each of these concerns to the Committee's satisfaction.¹³

The Academic Advisory Committee notes that the proposed programs were reviewed by the Ministry of Health, Health Human Resources Planning, Policy and Programs Branch and received its endorsement on the grounds that the programs "would help to serve the need for French-speaking speech language pathologists and audiologists in the province."¹⁴

Student demand for existing programs significantly exceeds the number of places available both in Ontario and in Canada. The University of Ottawa indicates that for each of the seven Speech-Language Pathology and five Audiology programs in place Canada-wide, there are 150 qualified applicants per program annually and approximately 20-25 students admitted annually per program. The University of Montreal has the only Speech-Pathology/Audiology programs currently offered in French and accepts approximately 50 students out of 350 qualified applicants per year.¹⁵

The University of Ottawa indicates that it does not anticipate any problem recruiting qualified students into the programs. Approximately 60 applications have been received to date. The University expects that overall 70% of the students will specialize in Speech-Language Pathology and the balance will specialize in Audiology.

The first cohort of Speech-Language Pathology students will be admitted in September, 1993. The University of Ottawa indicates that at that time it expects to enrol 10 students at the University of Ottawa and five students at Laurentian University. A steady-state admission level of 13 students at the University of Ottawa and 10 students at Laurentian University is projected to be achieved by 1995-96.

The first cohort of Audiology students will be admitted in September of 1994. Four students are projected to be accepted at that time, increasing to a steady-state admission level of seven students per year in 1995-96.

A steady-state total enrolment of 40 students at the University of Ottawa and 20 students at Laurentian University is projected to be achieved by 1996-97. As a result, a grand total of 60 new students will be enrolled in the Ontario university system in Speech-Language Pathology and Audiology by 1996-97.

12. Letter from Dr. John C. Booth, Acting Chair, Department of Communicative Disorders, Faculty of Applied Health Sciences, University of Western Ontario, to Dr. Andrée Durieux-Smith, Department of Communication Disorders, Children's Hospital of Eastern Ontario, September 15, 1992.

13. University of Ottawa, *Op. cit.*, pp. 6 - 7.

14. Memorandum from Ms. Linda Tennant, Manager, Health Human Resources Policy, Policy and Programs Branch, Health Sciences Unit, Ministry of Health, to Ms. Elaine Hykawy, Manager, Health Sciences Unit, Policy and Programs Branch, Ministry of Colleges and Universities, January 28, 1993.

15. University of Ottawa, *Op. cit.*, p. 8.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for these programs.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed Master of Health Science programs in Speech-Language Pathology and Audiology in French have been included in the University of Ottawa's academic plan since 1986. The programs were strongly supported by the Ministry of Colleges and Universities, which provided significant start-up and development grants to both the University of Ottawa and Laurentian University to facilitate the creation of the joint program in Speech-Language Pathology.

The development of a joint program in Speech-Language Pathology with Laurentian University enables both institutions to share available resources and facilitate the training of clinicians in the north, to work in the north. All courses and laboratory work will be offered at both institutions. Courses will, however, be taught by faculty at just one of the universities, and courses will simultaneously be transmitted to the other campus via the Franco-ontarien distance education network. The Academic Advisory Committee notes that both institutions have significant experience in the provision of distance education.

At the University of Ottawa, the programs will benefit from corollary strengths in the Faculty of Medicine, Departments of Otolaryngology, Psychology and Linguistics, and Institutes such as the Institute of Mental Health Research.¹⁶ At Laurentian University, the program will benefit from corollary strengths in Psychology, Linguistics, Physiology, Physics and the Institut Franco-ontarien.¹⁷

The proposed programs have been included in the OCUA five-year graduate plan since 1987 at the University of Ottawa, and since 1989 at Laurentian University (Speech-Language Pathology only).

The Academic Advisory Committee is satisfied that the proposed Master of Health Science programs in Audiology and Speech-Language Pathology (Speech-Language Pathology joint with Laurentian University) are consistent with the aims, objectives and existing strengths of the University of Ottawa.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the MScS programs at the University of Ottawa in Audiologie and Orthophonie (Orthophonie joint with Laurentian University) be recommended by Council for funding eligibility.

Academic Advisory Committee

February 12, 1993

16. Ibid., See Annexe E, "Lettres d'Appui: Université d'Ottawa et l'Université Laurentienne".

17. Ibid.

COMITÉ CONSULTATIF DES AFFAIRES FRANCOPHONES

**Programme de maîtrise en orthophonie/audiologie (M.Sc.S.)
Université d'Ottawa/Université Laurentienne**

**Nouveau programme de langue française de deuxième cycle
présenté pour admissibilité au financement**

Le 17 novembre 1992, le Conseil ontarien des affaires universitaires (COAU) a demandé au Comité consultatif des affaires francophones (CCAF) de se prononcer sur la proposition de programme de maîtrise en orthophonie/audiologie en langue française élaborée conjointement par l'Université d'Ottawa et l'Université Laurentienne. Tel que le veut son mandat, le CCAF s'est en particulier demandé si le programme proposé répond aux besoins de la population franco-ontarienne. Lors de sa réunion du 10 décembre 1992, le CCAF a entériné la position énoncée ci-dessous.¹

1. Adéquation du programme

a) Spécificité du programme proposé par rapport aux autres programmes déjà existants dans l'institution et ailleurs en Ontario.

Le programme proposé par les deux institutions est unique. Aucun autre programme similaire n'existe en français en orthophonie-audiologie en Ontario.

b) Efforts pour coordonner le programme proposé avec d'autres départements, facultés et institutions (synergie)

Ce programme constitue un bel exemple de coordination entre deux institutions afin de mettre en commun des forces existantes et d'offrir le programme d'une façon efficiente. La collaboration et le partenariat que le projet suppose sont particulièrement appréciés par le CCAF.

c) L'environnement humain, physique, social et culturel

Les deux institutions accueillent déjà un nombre significatifs d'étudiants et d'étudiantes de langue française. Elles sont de plus toutes les deux déterminées à améliorer le milieu de vie pour leur clientèle étudiante de langue française. Il semble que l'environnement soit donc approprié pour offrir un tel programme.

d) L'utilisation des forces francophones actuelles des institutions

Le CCAF apprécie l'effort fait pour utiliser les forces existantes des institutions et pour bâtir sur les acquis. Le Comité apprécierait recevoir une liste du personnel académique affecté à ce nouveau programme car les fonctions clinique et de recherche associées au programme de deuxième cycle sont telles qu'il faudra s'assurer d'un personnel hautement qualifié, et parlant français.

D'autre part, l'utilisation prévue de l'enseignement à distance est un atout pour le

1. Il importe de noter que les critères utilisés dans ce document représentent ceux qui seront utilisés par le Comité pour ses avis suivants. Le Comité a élaboré une liste de critères permanents pour l'évaluation de demandes futures. Cette grille d'évaluation a été acceptée par le Ministre et apparaîtra dorénavant dans le manuel de procédures du COAU.

programme, compte tenu de l'expertise développée dans ce domaine par les deux institutions.

e) Collaboration, partenariat et utilisation des ressources déjà disponibles en Ontario pour desservir la population franco-ontarienne

Ce programme est particulièrement bien ancré dans la réalité de la communauté franco-ontarienne. Le partenariat entre deux institutions ayant déjà l'expertise dans des domaines connexes est une composante importante de l'originalité du programme. Les lettres d'appui démontrent également que le programme a été pensé en fonction d'une écoute des besoins des organismes de santé de la communauté franco-ontarienne.

f) Le mode de gestion du programme

La gestion conjointe du programme posera certes des défis mais les deux institutions semblent prêtes à les relever. Cependant, le CCAF aimerait faire remarquer que les modalités détaillées de cette gestion conjointe sont peu explicitées dans la demande. Ces modalités ont sans doute été négociées entre les deux institutions mais elles ne sont pas définies dans le projet. Le CCAF encourage les institutions à développer un protocole d'entente à ce sujet. Ce protocole pourrait servir de modèle pour d'autres programmes conjoints dans l'avenir.

2. Degré auquel le programme répond aux besoins de la société franco-ontarienne

a) Formation de personnel qualifié requis par la communauté franco-ontarienne

Le Comité est très satisfait de la démonstration du besoin du programme, tant du point de vue des employeurs potentiels que de celui des utilisateurs des services à être prodigués par les futurs diplômés et diplômées du programme proposé. La pénurie de main d'oeuvre en orthophonie et audiologie en Ontario, et en particulier en Ontario français est bien illustrée et l'appui des associations professionnelles est sans équivoque.

b) Préparation aux études aux cycles supérieurs (le cas échéant)

Le document ne fait pas mention de la préparation des étudiants à entreprendre des études de troisième cycle. On peut supposer qu'il s'agira là d'une préoccupation normale du programme compte tenu des difficultés de recrutement du personnel professoral francophone qualifié.

c) Développement de la recherche de pointe et formation de chercheurs et de chercheuses

Le volet recherche est assez bien développé dans la description du programme. Le projet de recherche occupe une place importante dans le programme proposé. On devrait s'assurer que les projets de recherche soient orientés, autant que possible, vers des sujets pertinents en particulier pour la population franco-ontarienne.

d) Ouverture sur d'autres disciplines (le cas échéant)

La multidisciplinarité et l'ouverture sur d'autres disciplines semblent assurées grâce à l'appui et à l'offre de coopération des autres unités académiques des institutions. Compte tenu de la nécessité pour les professionnels de la santé d'avoir une vision globale et inter-disciplinaire de la santé humaine, il serait souhaitable que les étudiants et étudiantes soient encouragés à se joindre à des projets de recherche multidisciplinaires.

e) Contribution au dynamisme et au développement de la vie française en Ontario

Le programme étant élaboré de façon à répondre aux besoins exprimés par la communauté franco-ontarienne, il ne fait pas de doute qu'il deviendra un actif important pour la vitalité de la communauté.

3. Demande étudiante franco-ontarienne pour la création du programme

a) Demande absolue - prévision d'effectifs parmi les francophones de l'Ontario

La demande potentielle est bien analysée et les demandes d'inscription reçues nous laissent croire que la clientèle sera au rendez-vous.

b) Pertinence du mode de prestation du programme pour rejoindre la clientèle-cible

Encore une fois, il nous faut souligner la valeur de l'enseignement conjoint et de l'enseignement à distance proposés dans le cadre du programme. Ces modes de prestation permettront de rejoindre une clientèle dispersée.

4. État des démarches initiales d'implantation du programme

Le programme semble bien démarré. Le document soumis à l'appui du programme ne fait mention d'aucune difficulté particulière jusqu'à maintenant laissant penser qu'une stratégie d'embauche de professeurs francophones soit nécessaire ou que les nombres d'étudiants prévus soient irréalistes. Nous espérons que cela signifie que l'implantation du programme se passe comme prévu.

5. Caractère innovateur du programme

Comme nous l'avons laissé entendre plusieurs fois, le CCAF est particulièrement satisfait des efforts de concertation entrepris par l'Université d'Ottawa et l'Université Laurentienne dans le but d'offrir conjointement ce nouveau programme. Cette tentative louable va tout à fait dans le sens d'une utilisation rationnelle des fonds publics et d'une prestation de service qui soit efficiente au plan du coût. Le programme proposé bâtit sur des forces existantes et fait fructifier les acquis. Il accorde une attention particulière aux besoins de la communauté franco-ontarienne, en respectant les caractéristiques régionales de cette dernière. En bref, il s'agit non seulement d'un programme qui répond à un besoin prioritaire de la communauté dans son ensemble et à ses modalités régionales, mais également d'un programme soucieux de répondre à ce besoin d'une façon planifiée et rationnelle.

6. Recommandation

Le Comité consultatif des affaires francophones (CCAF) recommande au Conseil ontarien des affaires universitaires (COAU) que

le nouveau programme de maîtrise en orthophonie-audiologie proposé par l'Université d'Ottawa et l'Université Laurentienne soit recommandé par le Conseil pour l'admissibilité au financement.

Le Comité consultatif des affaires francophones

Le 10 décembre 1992

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Service Social (MSS)
University of Ottawa**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, the University of Ottawa requested that Council consider its new Maîtrise en Service Social (MSS) program for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 18, 1991.

2. Societal Need and Student Demand

The purpose of the proposed program is to provide advanced professional training in social work in French, which will equip graduates to address the problems and needs of the Francophone population in Ontario, and to provide leadership in the development of additional services and policies to meet the needs of the Francophone community. The program has been structured in compliance with the requirements of both the Canadian Association of Schools of Social Work and the College of Social Work of Ontario. Fields of specialization include Child-Family Relations and Socio-Health Issues.¹ A practicum, undertaken in either the public sector or a specialized social-service agency, is a required component of the program. A research project is also mandatory.

The University of Ottawa notes that the societal need for advanced academic and professional training in social work in French has increased significantly since the introduction of Bill 8, the French Language Services Act, 1986. In particular, the University of Ottawa has been promoted by professional organizations as the site for a Social Work program in the French language for many years.²

A survey conducted by the University of Ottawa of 348 potential employers in the Bilingually-designated regions of Ontario resulted in 78 responses indicating that, between 1992

1. School of Graduate Studies and Research - University of Ottawa, Graduate Calendar for Service social, 1992-1994, p. 3.

2. University of Ottawa, Soumission au Conseil des affaires universitaires de l'Ontario pour le financement du programme de maîtrise en service social (MSS) de l'Université d'Ottawa, October 1992, p. 2. referring to a document published by the Conseil de planification sociale d'Ottawa-Carleton, in 1985 entitled Les professionnels francophones dans les services de santé et les services sociaux en Ontario, rapport de situation, p. 24.

and 1997, there were in the order of 112 positions expected to open up for which graduates of the proposed program would be qualified.³ On average, this represents 20 to 25 vacant positions per year. It was indicated that the need for Francophone and Bilingual graduates will continually increase as the network of social service resources in the designated regions expands to address social problems resulting from increases in such things as poverty, illness, family violence and child abuse.

In its submission, the University of Ottawa argues that the need for Francophone personnel with advanced Social Work qualifications in Health and Child-Family Relations is particularly pressing and long-term. This societal need was documented for the Committee in numerous letters of support from organizations such as the Ministry of Community and Social Services, Ontario, which indicated:

...la pénurie de programmes d'études post-graduées en français, dans le domaine du service social et d'autres disciplines connexes, a ralenti considérablement et a rendu pénible le recrutement de personnel francophone qualifié, connaissant les problématiques qui nous sont propres.

L'ouverture prochaine de votre programme est un événement tant attendu pour nous et pour les organismes communautaires avec lesquels nous travaillons en partenariat. Je peux vous assurer que ce bassin d'organismes se montrera autant une source de placement en formation qu'un nombre important d'employeurs potentiels pour vos diplômés.⁴

Similarly, the Social Planning Council of Ottawa-Carleton stated:

...nous tenons à vous exprimer la très grande importance de la mise en place dans un avenir très rapproché du Programme en français de Maîtrise en service social qui permettra de fournir un nombre suffisant de diplômés francophones capables de répondre aux besoins et aux attentes de la collectivité francophone de l'Ontario. A titre d'intervenants francophones dans le domaine des services sociaux et communautaires, nous considérons que la mise en place de ce programme représente un élément essentiel dans le développement des services en français bien adaptés aux besoins de la collectivité francophone de l'Ontario. La région d'Ottawa-Carleton représente le plus grand bassin de population francophone en Ontario et actuellement les francophones n'ont pas la chance d'étudier en français dans le domaine du service social.

Depuis déjà bientôt dix-sept ans, le Conseil de Planification sociale d'Ottawa-Carleton, par le biais de son Forum sur les services en français, s'intéresse attentivement au développement des services en français et nous avons identifié

3. *Ibid.*, Annexe 7.

4. Letter from Mr. Pierre Lalonde, Ministry of Community and Social Services, to Mr. Roland Lecomte, Director, School of Social Work, University of Ottawa, June 11, 1992.

l'impact négatif créé par l'insuffisance de professionnels francophones formés dans le domaine des sciences de la santé et du service social...⁵

Employers in the region, such as Catholic Family Services, indicated strong support for the proposed program and significant demand for the graduates within their organizations:

...Notre agence, qui est en instance de recevoir une désignation bilingue est régulièrement approchée par divers Ministères et organismes communautaires pour répondre aux besoins de notre population francophone. De plus, le remaniement dans les départements de service social au sein des milieux hospitaliers et scolaires font de sorte que nos services sont en demandes croissantes.

Notre modèle d'intervention supporte l'approche famille-enfant (ex. nos groupes pour enfants francophones témoins de violence familiale) et celle dans le domaine santé (ex. nos groupes pour femmes francophones survivantes d'inceste ou d'agression sexuelle).

Comme organisme-employeur, nous comptons sur votre institution pour nous offrir des étudiants(es) prêts(es) à faire des stages de recherche-intervention et dans la mesure du possible du personnel formé pour faire de l'intervention et de l'intercession dans les problématiques particulières des Franco-ontariens(nes).⁶

The Academic Advisory Committee notes that the proposed program was also reviewed and endorsed by the Ontario Association of Professional Social Workers.⁷

Program graduates can expect to find employment in the public and private sector wherever Bilingual personnel are required throughout the province. The University notes that an ever-increasing number of supervisory and professional posts require Master's-level training as a prerequisite qualification.

The Academic Advisory Committee notes that although there are already six Master's degree programs in Social Work in place within the Ontario university system, only one is available in French. This program, located at Laurentian University, is strictly a part-time program and is focused principally upon the delivery of services in a Northern and rural context.⁸ As indicated by a letter from the Director of the Laurentian program:

L'Université Laurentienne considère que le programme de la maîtrise de l'Université d'Ottawa et celui de l'Université Laurentienne sont des programmes complémentaires...nous avons collaboré dès le départ entre les deux institutions,

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5. Letter from Ms. Mary-Anne Nixon, Chair and Mr. Ronald Caza, Chair of the Forum on Services in French, Social Planning Council of Ottawa-Carleton, to Mr. Roland Lecomte, Director, School of Social Work, University of Ottawa, June 23, 1992.
 6. Letter from Ms. Rachel Maillet, Coordinator of French Services, Catholic Family Service, Ottawa, to Mr. Roland Lecomte, Director, School of Social Work, University of Ottawa, May 27, 1992.
 7. Letter from Ms. Elise Gagné, Secrétaire, Ontario Association of Professional Social Workers, to Mr. Roland Lecomte, Director, School of Social Work, University of Ottawa, May 21, 1992.
 8. See the Ontario Council on University Affairs, "Advisory Memorandum 91-XI: Graduate Program Funding 1992-93", Report of the Academic Advisory Committee, Appendix C, Master of Social Work (MSW) Laurentian University.

pour nous assurer que ces projets ne comporteraient pas d'éléments qui seraient incongruents les uns avec les autres...La maîtrise en service social offerte à l'Université Laurentienne a mis un accent particulier sur les situations nordiques, les affaires autochtones. Notre programme en est un à temps partiel qui s'adresse à des candidats possédant déjà un baccalauréat en service social. De ce que j'en sais, le programme offert par l'Université d'Ottawa a des objectifs différents, s'adresse à une clientèle possédant un baccalauréat général, et est un programme à temps plein...Cependant, nous collaborerons et échangerons de façon continue entre les deux institutions, particulièrement en ce qui concerne les stages ou les projets de recherche spécifiques dans lesquels des étudiants des deux programmes de maîtrise pourraient être engagés.⁹

The Committee is satisfied that the two programs are complementary rather than duplicative, that the programs have provided for inter-institutional co-operation where there is the possibility of sharing unique strengths, and are both warranted in view of the serious shortage of French-speaking Social Work professionals trained at the Master's level.

A survey conducted by the University of Ottawa of the non-Francophone programs in Ontario universities revealed strong support from the existing programs. Each program indicated a need for the proposed program, and many indicated that Francophones enrolled in undergraduate programs in Social Work at their institution would find the proposed program very appealing. No programs envisioned a reduction in enrolment nor any other detrimental impact as a result of the proposed program.¹⁰ Carleton University, also located in Ottawa, indicated that the proposed program was "entirely complementary" to its existing program which is offered only in English. Carleton University further noted:

In the past the Carleton University School of Social Work was accustomed to having several francophone students per year. Since we have regularly received a total of between 400 and 500 applications for 55-60 spaces, it is unlikely that our admissions would in any way be affected. On the contrary by opening up additional spaces at the University of Ottawa, we will in Ottawa be able to serve a larger number of the many students who wish to undertake graduate training.¹¹

Student demand for the proposed program is projected to be significant. Letters from existing Master's programs indicated that the student demand for such programs generally is far greater than can be accommodated in existing programs. The following excerpt from comments provided by the University of Toronto are reflective of the general trend in student demand for all programs:

In the recent past the number of qualified applicants for the Master's Program has risen dramatically so that we are able to admit a small percentage of persons

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9. Letter from Mr. Pierre Roberge, Dean of Professional Schools, Laurentian University, to Professor Roland Lecomte, Director, School of Social Work, University of Ottawa, June 22, 1992.
 10. University of Ottawa, *Op. cit.*, Annexe 4, Letters from the Universities of Windsor, Carleton, York, Wilfrid Laurier, McMaster, and Toronto.
 11. Letter from Professor Allan Moscovitch, Supervisor of Graduate Studies, School of Social Work, Carleton University, to Mr. Roland Lecomte, Director, School of Social Work, University of Ottawa, October 27, 1992.

wishing to pursue graduate education in social work...In 1992, 20% of applicants found a place in the Foundation Year...I note that your program will focus on research-intervention in two areas: health, and child and family. Our program also aims to integrate research and practice and currently has identified five theme areas: aging, anti-racist, multi-cultural and native issues, child and family welfare, health, and housing. It has been our experience that there is high student interest and employment opportunities in health and child and family. In fact, in the child and family area student interest often exceeds resource availability. I believe the availability in your program for students to study these fields will provide necessary additional opportunities for advanced education and professional preparation.¹²

The University of Ottawa notes that it has received over 400 telephone inquiries expressing interest in the proposed program and 170 requests for applications. Of the 36 qualified applicants on file to date, 28 wish to study on a full-time basis. Twenty-one individuals have expressed an interest in specializing in Child-Family Relations. Fifteen candidates have indicated a preference to specialize in the Health field.

In the first year of the two-year program, which commenced in 1992-93, the University will accept students with a Baccalaureate in Social Science. Students already holding a Baccalaureate in Social Work will be admitted directly into year two of the program commencing in 1993-94.

The University of Ottawa admitted a total of 24 students into year one of the program in 1992-93. Of this number, four were male students. All were Francophones. Fifteen students were from Ontario. The remainder were from Quebec. Six of the 24 students registered on a part-time study basis.

At steady-state admission levels, the University expects to admit 18-20 full-time students and 15 part-time students. This enrolment level is projected to be achieved by 1994-95. The majority of enrolments would be in the Child-Family Relations specialization. Steady-state total enrolment is projected to be 60 students, over both years of the program, with 15 students studying part-time at any given time.¹³

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed Master's program in Social Work in French at the University of Ottawa is supported by corollary strengths at the undergraduate level in the Faculty of Social Sciences (programs in Criminology, Sociology and Political Science) and in the Faculty of Science, the Faculty of Health Science, the School of Nursing, the Faculty of Administration and the Women's Studies programs.

As a Bilingual university located in the National Capital Region, the University of Ottawa has a well-developed network of federal, provincial and regional organizations with which it has already established co-operative arrangements which will facilitate the provision of practicum placements for students enrolled in the MSS program. The Committee noted that the University

12. Letter from Professor Heather Munroe-Blum, Dean, Faculty of Social Work, University of Toronto, to Dr. Roland Lecombe, Director, School of Social Work, University of Ottawa, October 1, 1992.

13. University of Ottawa, Op.cit. p. 5, Annexe 5 and Annexe 6.

of Ottawa cited 30 organizations in which practicums for students, enrolled in the program, could be provided.¹⁴

The proposed program will contribute significantly to the improvement of professional training and education available in French in Ontario. It received substantial start-up and development grants from the Province and this funding was augmented by institutional funds, despite the severe constraints which have been experienced on funding in recent years.

The MSS program has been a part of the University of Ottawa's five-year graduate plan since 1988.

The Academic Advisory Committee is satisfied that the proposed MSS program in Service Social is consistent with the aims, objectives and existing strengths of the University of Ottawa.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master's program in Service Social at the University of Ottawa be recommended by Council for funding eligibility.

Academic Advisory Committee

December 4, 1992

14. Ibid., Annexe 10.

COMITÉ CONSULTATIF DES AFFAIRES FRANCOPHONES

**Programme de maîtrise en service social (M.S.S.)
Université d'Ottawa**

**Nouveau programme de langue française de deuxième cycle
présenté pour admissibilité au financement**

Le 17 novembre 1992, le Conseil ontarien des affaires universitaires (COAU) a demandé au Comité consultatif des affaires francophones (CCAF) de se prononcer sur la proposition de programme de maîtrise en service social en langue française élaborée par l'Université d'Ottawa. Tel que le veut son mandat, le CCAF s'est en particulier demandé si le programme proposé répond aux besoins de la population franco-ontarienne. Lors de sa réunion du 14 janvier 1993, le CCAF a entériné la position énoncée ci-dessous.¹

1. Adéquation du programme

a) Spécificité du programme proposé par rapport aux autres programmes déjà existants dans l'institution et ailleurs en Ontario.

A priori, le programme proposé ressemble à celui qu'offre maintenant en français l'Université Laurentienne. Il aurait donc été intéressant que dans un effort de rationalisation, ces deux programmes soient davantage coordonnés. Cependant, il semble bien que le programme de l'Université d'Ottawa comporte suffisamment d'éléments originaux (clientèle à temps plein, accent sur la recherche, spécialisation des problématiques, réponse aux besoins de la région de l'Est de la province) pour justifier la duplication. Les deux programmes semblent donc devoir être davantage complémentaires l'un à l'autre qu'en compétition l'un avec l'autre.

b) Efforts pour coordonner le programme proposé avec d'autres départements, facultés et institutions (synergie)

La proposition de programme fait mention de possibilités de coopération éventuelle entre les deux programmes en français, par exemple par des stages d'étudiants de l'Université d'Ottawa auprès de populations autochtones, qui seraient supervisés par des enseignants de l'Université Laurentienne. De même, la proposition spécifie que la réciproque pourrait aussi être offerte. Ce type de coopération est fortement encouragé afin d'accroître la diversité d'expériences éducatives pouvant être vécues par les étudiants des deux programmes.

Il est à souhaiter qu'au fur et à mesure que le programme sera développé, si des lacunes sont rencontrées quant aux choix de cours offerts, que la collaboration entre les deux programmes en français soit privilégiée par le recours à l'éducation à distance.

De plus, des collaborations avec les autres facultés de l'Université d'Ottawa sont déjà en branle et méritent d'être soulignées.

1. Il importe de noter que les critères utilisés dans ce document représentent ceux qui seront utilisés par le Comité pour ses avis suivants. Le Comité a élaboré une liste de critères permanents pour l'évaluation de demandes futures. Cette grille d'évaluation a été acceptée par le Ministre et apparaîtra dans le manuel de procédures du COAU à compter de 1993.

c) L'environnement humain, physique, social et culturel

L'Université d'Ottawa accueille déjà un nombre significatif d'étudiants et d'étudiantes de langue française. Elle est de plus déterminée à améliorer le milieu de vie pour sa clientèle étudiante de langue française. L'environnement est donc approprié pour offrir un tel programme.

d) L'utilisation des forces francophones actuelles de l'institution

Les collaborations envisagées avec les départements de criminologie, sociologie et sciences politiques ainsi qu'avec la Faculté des sciences de la santé seront sans doute telles que l'expertise francophone déjà en place à l'Université d'Ottawa sera utilisée à bon escient.

e) Collaboration, partenariat et utilisation des ressources déjà disponibles en Ontario pour desservir la population francoontarienne

Ce programme est particulièrement bien ancré dans la réalité de la communauté franco-ontarienne. Les lettres d'appui démontrent que le programme a été pensé en fonction d'une écoute des besoins des organismes actifs en service social dans la communauté franco-ontarienne. Les stages proposés seront d'autant plus utiles et attrayants pour les étudiants et étudiantes qu'ils leur permettront de véritablement appréhender la réalité avec laquelle ils seront appelés à travailler par la suite, en tant que praticiens au service de la communauté franco-ontarienne.

f) Le mode de gestion du programme

Le programme sera géré par l'École de service social. La proposition de programme fait peu état du mode de gestion qui sera utilisé. Compte tenu de l'ensemble du projet, cependant, il semble clair que le programme sera géré de façon à tenir compte de la réalité francophone ontarienne.

2. Degré auquel le programme répond aux besoins de la société franco-ontarienne

a) Formation de personnel qualifié requis par la communauté franco-ontarienne

Le Comité est très satisfait de la démonstration du besoin du programme, tant du point de vue des employeurs potentiels que de celui des utilisateurs des services à être prodigués par les futurs diplômés et diplômées du programme proposé. Les lettres d'appui sont convaincantes et le choix des concentrations santé et enfance-famille semble avoir été fait après une sérieuse réflexion.

b) Préparation aux études aux cycles supérieurs (le cas échéant)

Le document ne fait pas mention de la préparation des étudiants à entreprendre des études de troisième cycle. On peut supposer qu'il s'agira là d'une préoccupation normale du programme.

c) Développement de la recherche de pointe et formation de chercheurs et de chercheuses

Le volet recherche occupe une place importante dans le programme. Le CCAF apprécie le fait que certains projets de recherche seront orientés vers des sujets pertinents en particulier pour la population franco-ontarienne.

d) Ouverture sur d'autres disciplines (le cas échéant)

La multidisciplinarité et l'ouverture sur d'autres disciplines semblent assurées grâce à l'appui et à l'offre de coopération des autres unités académiques de l'institution. Compte tenu de la multi-disciplinarité inhérente au service social, la proposition de programme permettra

aux étudiants et étudiantes désireux de le faire de se joindre à des projets de recherche véritablement inter-disciplinaires.

e) Contribution au dynamisme et au développement de la vie française en Ontario

Le programme a visiblement été élaboré de façon à répondre aux besoins exprimés par les organismes qui sont au service de la communauté franco-ontarienne; il ne fait pas de doute qu'il deviendra un actif important pour la vitalité de la communauté.

3. Demande étudiante franco-ontarienne pour la création du programme

a) Demande absolue - prévision d'effectifs parmi les francophones de l'Ontario

La demande potentielle est bien analysée et les demandes d'inscription reçues nous laissent croire que la clientèle sera au rendez-vous. Un nombre impressionnant de demandes d'informations ont été reçues, permettant d'envisager une viabilité probable du programme. Le besoin pour le programme nous apparaît sérieux.

b) Pertinence du mode de prestation du programme pour rejoindre la clientèle-cible

L'offre d'un programme à temps plein est intéressante en ce qu'elle touchera une clientèle différente de celle de l'Université Laurentienne. Par ailleurs, les étudiants à temps partiel sont également accueillis dans le programme, ce qui devrait être utile aux personnes désireuses de retourner aux études tout en conservant leur emploi.

4. État des démarches initiales d'implantation du programme

Les subventions de démarrage et de maintien ont permis au programme de bien commencer et ce démarrage semble se passer comme prévu. Ce programme sera sans doute relativement coûteux. Il importe que l'Université assure le programme d'un financement adéquat.

5. Caractère innovateur du programme

L'attention apportée, dans l'élaboration du programme, aux réalités franco-ontariennes, multiculturelles et autochtones font de ce projet une initiative très progressiste et avant-gardiste. L'admission d'étudiants et d'étudiantes ayant des profils académiques et professionnels variés fournira sans nul doute la base d'une formation particulièrement riche du point de vue de l'ouverture sur les autres disciplines. Tout le programme tend d'ailleurs vers une inter-disciplinarité qui devrait s'avérer très riche et fort stimulante pour les personnes associées au programme.

6. Recommandation

Le Comité consultatif des affaires francophones (CCAF) recommande au Conseil ontarien des affaires universitaires (COAU) que

le nouveau programme de service social proposé par l'Université d'Ottawa soit recommandé par le Conseil pour l'admissibilité au financement.

Le Comité consultatif des affaires francophones

Le 14 janvier 1993

Appendix Q

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Doctor of Philosophy in Nursing (PhD)
University of Toronto**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, the University of Toronto requested that Council consider its new Doctor of Philosophy (PhD) program in Nursing for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 16, 1992.

2. Societal Need and Student Demand

The purpose of the proposed Doctoral program in Nursing at the University of Toronto is to prepare scholars with the analytical and research skills required for the study of clinical and administrative problems specific to nursing science.¹

The program would be the first Doctoral program in Nursing in Ontario and only the third such program in Canada.² The proposed program would, therefore, meet a need for education, research and policy development related to the provision of nursing care.

As Doctoral programs in Nursing become available, and as the number of graduate Nursing programs increase, the societal need and demand for Doctorally-prepared Nursing faculty has increased sharply. The University of Toronto notes that despite a significant increase in the proportion of Nursing faculty with Doctoral preparation in the last decade, the number of Doctorally-prepared Nursing faculty is still below the average number of Doctorally-prepared faculty for most university departments. Canada's multi-cultural society is placing additional demands on nurses to understand the values and traditions of patients from many different cultures and value systems, which requires an expansion of the knowledge base and re-examination of what is known and taught in Nursing programs. The proposed program offers the possibility for students to participate in a new multidisciplinary program in Ethnic Studies

1. University of Toronto. Submission to the Advisory Committee of the Ontario Council on University Affairs for Funding Approval for the PhD Program in the Faculty of Nursing. University of Toronto, November 2, 1992, p. 1.

2. The other two programs are located at the University of British Columbia and at the University of Alberta. Both programs accepted their first cohort of students in 1991.

in order to facilitate the study of the cultural aspects of nursing. It is expected that the demand for Doctorally-prepared nursing faculty will increase at both the university and college levels.³

In its submission, the University of Toronto notes that there is currently a dearth of research about the role of nursing in caring for people who are ill and in encouraging and supporting the adoption of healthy lifestyles by individuals, families and communities. The University states:

Nurses play a significant role in working with individuals who are chronically ill...or disabled. The appropriateness of care that is delivered and the quality of that care in most situations leaves much to be desired and it is nursing's responsibility to conduct research in how to provide the appropriate level of care and environment for a high quality of life.⁴

Research conducted from a nursing perspective is needed to contribute to the "low tech" aides and devices facilitating care-giving and recovery. Research is also needed concerning the appropriate provision of the maximum amount of comfort for patients facing life threatening illnesses, reducing their level of anxiety and that of their family's, and achieving the best possible outcomes in the shortest period of time.

Other areas requiring research include community health and health promotion, and the measurement of nurses' work to ensure that the appropriate number and type of nursing personnel are assigned to groups of patients; examining the work design; costing and assessing the effect of work on nurses. The University argues that it is critical to the effective and efficient use of nursing personnel that knowledge be advanced in the areas noted above.⁵

Finally, Doctorally-prepared nurses will be needed to an ever greater extent in the area of policy assessment and policy development by governments seeking to improve public policy related to the provision of health services.

The need for more Doctorally-prepared nurses is local, provincial and national in scope. The Academic Advisory Committee reviewed numerous letters attesting to the need for program graduates. The following excerpts, taken from letters from Mount Sinai Hospital in Toronto, Chedoke-McMaster Hospitals in Hamilton and the Montreal General Hospital, reflect but a few examples of the extensive evidence provided of the need for graduates in the hospital setting:

We believe our institution will benefit immensely from the contributions of students in the fields of study planned for the PhD program, as they dovetail neatly with our own goals and aspirations...the PhD program at the University of Toronto will make an essential and long awaited contribution to the science of nursing and the healthcare system as a whole.

Vice-President of Nursing
Mount Sinai Hospital, Toronto

Increasing consumer expectations, along with changing government policies have combined to identify the need for nursing to re-examine and perhaps refocus its contribution in the health care system of the future. The areas of foci for the PhD Program seem to me to address precisely the areas in which we need to

3. *Ibid.*, p. 3.

4. University of Toronto, *Op. cit.*, p. 2.

5. *Ibid.*, p. 3.

concentrate...Academic health centres should play a leading role in helping to address these issues. Nurses with doctoral preparation able to provide leadership in this area would be valuable staff members of the nursing department in such centres. I would strongly support the directions stated for the new program and would certainly be looking to graduates of the program as desirable members of my staff.

Vice-President, Nursing
Chedoke-McMaster Hospitals

Across Canada, teaching hospitals are hiring nurse scientists for clinical research. For the McGill network alone, we have four funded research positions in our hospitals with only one incumbent holding a PhD in nursing which she obtained in the United States. The development of the discipline of nursing and nursing practice must be led by those nurses who are prepared at the doctoral level. Currently, the position of Associate Director for Research in the School of Nursing at McGill University is vacant for lack of a PhD prepared nurse. Your graduates will not find it difficult to obtain employment. They will have a hard time selecting from amongst the many offers.

Associate Professor, School of Nursing
McGill University/The Montreal General Hospital

The need for graduates to fill academic positions was expressed by faculties of Nursing from across Canada. The following excerpts taken from letters provided by McMaster and Dalhousie Universities demonstrate both the current shortage of qualified faculty and suggest the high degree of competition for Doctorally-prepared nurses from other agencies located outside universities:

We have, here in McMaster's School of Nursing, a total of 18 faculty members, prepared at the Master's level, who are enroled in non-nursing Ph.D. programs at various local universities because there are no nursing Ph.D. programs in existence in this area. The discipline of nursing desperately needs some nursing Ph.D. programs in this geographical area.

Associate Dean of Health Sciences (Nursing)
Faculty of Health Sciences, McMaster University

Our School of Nursing has experienced little success in recruiting PhD prepared faculty for vacant tenure track positions and I expect the implementation of your new doctoral program will help to alleviate this problem in the future. There is also an increased interest on the part of clinical agencies in Halifax to hire PhD prepared nurses to facilitate research development.

Director, School of Nursing
Dalhousie University

Finally, the Academic Advisory Committee noted that the current lack of opportunity to acquire the needed Doctoral qualifications in nursing in a Canadian context posed a significant problem, illustrated in many letters such as the following provided by the University of Alberta:

Doctoral programs in Nursing are urgently required to provide opportunity for nurses to study in their own discipline rather than undertaking study in other disciplines. It is essential that these opportunities be available in Canada in order to prepare nursing researchers, educators and leaders with background which is relevant to Canadian health issues and the Canadian health system.

Acting Dean and Professor
Faculty of Nursing, University of Alberta

The Canadian Nurses Association identified the need for the proposed program as "urgent in Canada". The Association's official position states:

There is a severe shortage of doctorally-prepared nurses, especially of those holding a doctorate in nursing. It is our view that national and provincial governments, university boards, health care agencies and nursing organizations must initiate cooperative planning and resource sharing to increase the number of nurses prepared at the doctoral level...⁶

The Association also noted that the most recent survey of Doctorally-prepared nurses in Canada (1989), found that there were only 257 nurses with Doctoral degrees and of those, only 23% had degrees which were principally Nursing focused. They also indicated that only 51 percent of Canadian nurse Doctoral candidates were enrolled in Canadian universities. The Association further indicated that the "three research areas selected for the new PhD program are very much in tune with the long term needs of our health care system."⁷

To combat the profound shortage of Doctorally-prepared faculty members, Employment and Immigration Canada granted a hiring exemption, allowing the recruitment of non-Canadian Doctorally-prepared nurses for a five-year period beginning in 1991. Existing shortages are expected to be heightened by the projected retirement of 35% of existing nursing faculty between 1998 and 2008.

A review of the proposed program by the Ministry of Health resulted in an expression of support for the program as it "would contribute to the staffing of academic departments of nursing and to the development of nursing research in the province."⁸

In view of the evidence, the Academic Advisory Committee is satisfied that the need for program graduates will be significant and long-term in nature.

Student demand for the proposed program is expected to originate from the Master of Science in Nursing program at the University of Toronto and other similar programs across Canada. The University indicated that of the 89 graduates of their Master's program surveyed in 1990, 10 had completed or were enrolled in Doctoral studies, while 17 indicated an interest in pursuing a PhD in Nursing Science at the University of Toronto. Demand is also projected to originate from nurses employed in research hospitals and faculties of nursing across Canada who wish to study for their Doctorate degree in Nursing, rather than in a distantly related academic

6. Letter from Ms. Judith A. Oulton, Executive Director, Canadian Nurses Association, to Dr. Dorothy Pringle, Dean, Faculty of Nursing, University of Toronto, November 12, 1992, p. 1.

7. Ibid.

8. Memorandum from Ms. Linda Tennant, Manager, Health Human Resources Policy, Policy and Programs Branch, Health Sciences Unit, Ministry of Health, to Ms. Elaine Hykawy, Manager, Health Sciences Unit, Policy and Programs Branch, Ministry of Colleges and Universities, January 28, 1993.

subject area such as Education, Sociology or Psychology. For example, a letter from the Université de Montréal stated:

Université de Montréal has been helping young bright lecturers to be prepared at the Ph.D. level by paying 75% of their salary for two years plus tuition fees. In United States, these fees can go as high as 18 000\$ per year. It would be cheaper to send them to University of Toronto or to hire them from your program....In résumé, Université of Montréal has had to send lecturers away with paid leave of absence as we could not recruit from either the States or Canada and I believe our situation is the same as that of other universities in Québec.⁹

The current Chair of the Department of Nursing at St. Francis Xavier University provided another example of the unmet student demand for such programs from within the ranks of current faculty members, indicating:

At present, I am a doctoral candidate in nursing, but had to choose a U.S. school due to the absence of Canadian doctoral nursing programs at the time I applied for graduate education. The approval of a Ph.D. Program in Nursing at the University of Toronto will do much to improve the situation of Canadian Graduate Nursing Education.¹⁰

The University of Toronto indicates that it has received 47 enquiries about the program to date. The program will admit its first five students in the 1993-94 academic year. This will be the steady-state admission level until 1998-99 after which time the steady-state admission level will be increased to eight students per year. A steady-state total enrolment level of 32 students per year is projected to be achieved by the years 2000-2001.

The Academic Advisory Committee notes that students at the University of Toronto were actively involved in the development of the proposed program.¹¹

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for the proposed program.

3. Consistency with Aims, Objectives and Existing Strengths

The University of Toronto has been involved in the education of Nurses since 1920 and a four-year program leading to the Baccalaureate degree was established in 1942. A Masters program has been in place since 1970. The University of Toronto currently offers a BScN for direct entries and a two-year degree completion program for registered nurses. The MSc program is thesis-based. A non-thesis Master of Nursing (MN) stream is currently being prepared. The

9. Letter from Ms. Marie-France Thibadeau, Dean, Faculté des sciences infirmières, Université de Montréal, to Dr. Dorothy Pringle, Dean, Faculty of Nursing, University of Toronto, November 4, 1992, p. 1.

10. Letter from Ms. Angela Gillis, Ph.D. candidate, R.N., Associate Professor and Chair, Department of Nursing, St. Francis Xavier University, to Dr. Dorothy Pringle, Faculty of Nursing, University of Toronto, November 5, 1992.

11. For details regarding the various stages and committees where students were active participants, see page 7 of the University of Toronto submission.

proposed Doctoral program is consistent with the University of Toronto's desire to "strengthen its research base and its graduate and second entry professional programs."¹²

Areas of corollary academic strengths exist through linkages with the Faculty of Management, the Department of Health Administration, the Institute for Clinical Evaluation Sciences at Sunnybrook, the Centre for Research and Aging, the Centre for Research in Health Promotion, and the Centre for the History and Philosophy of Science. Related research units include the Quality of Nursing Worklife Research Unit, jointly sponsored by the University of Toronto and McMaster University. Linkages also exist with numerous Toronto-area hospitals.

The nursing building was recently renovated and new faculty have been hired with the assistance of Program Adjustment support, as recommended by the Ontario Council on University Affairs.

The Academic Advisory Committee notes that the Alumni Association of the Faculty of Nursing has provided an annual Doctoral scholarship of \$10,000.00 and an alumnus is providing an additional endowment that will permit the University of Toronto to offer another scholarship of approximately the same amount.

The proposed program was included in the University's five-year graduate plan in 1992.

The Academic Advisory Committee is satisfied that the Doctor of Philosophy program in Nursing is consistent with the aims, objectives and existing strengths of the University of Toronto.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Doctor of Philosophy program in Nursing at the University of Toronto be recommended by Council for funding eligibility.

Academic Advisory Committee

February 12, 1993

12. University of Toronto, Op. cit., p. 8.

Appendix R

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Applications of Modelling in the Natural and Social Sciences (MA/MSc)
Trent University**

**New Graduate Program
Considered for Funding Eligibility**

On October 28, 1992, Trent University requested that Council consider its new Master of Arts (MA)/Master of Science (MSc) program in Applications of Modelling in the Natural and Social Sciences for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on January 17, 1992.

2. Societal Need and Student Demand

The proposed Master's program in Applications of Modelling in the Natural and Social Sciences was designed to overcome some of the barriers to interdisciplinary collaboration by bringing together, at the graduate level, students who are actively applying modelling techniques in their thesis research in a broad range of disciplines (Biology, Chemistry, Computer Science, Economics, Environmental Science, Geography, Mathematics, Physics, Psychology and Sociology).¹ The research will be in the social and natural sciences, and will be oriented towards quantitative models, utilizing computational, mathematical or statistical techniques. It will be discipline-based and will not be a program in Applied Mathematics.² The program will lead to either the Master of Arts or the Master of Science, the degree designation to be determined by either the student's first degree or "home" discipline in the program.

Trent University identifies the program's three primary objectives as follows:

- the teaching of fundamental and common analytical modelling techniques required for research in a large number of quantitative fields;

1. Trent University, Applications of Modelling in the Natural and Social Sciences, October, 1992, p. 2. Trent University defines modelling as "a symbolic representation of a system or process. This program will be oriented towards models which are computationally, mathematically, or statistically based. Modelling is the activity in which models are constructed, analyzed and used either predictively or as evidence bearing on a hypothesis. Models are frequently the result of an iterative process: an inadequate model is repeatedly refined until it succeeds in its objective or warrants rejection."

2. Ibid.

- the cross-fertilization that comes from sharing ideas with researchers in other disciplines, and the development of the communication skills required for this to occur; and
- sufficient training of the student in his/her chosen discipline, including coursework and a research thesis, to permit progression to a disciplinary Ph.D. program at another institution.³

Trent University argues that this program will meet a need for "natural and social scientists who have both specific discipline training and the ability to communicate in an interdisciplinary context."⁴ This need has been identified in many recent addresses and publications, including an address by the President of Bell-Northern Research who called on universities to provide "new graduates with both the technological knowledge and team skills that support competitive innovation", who can work in multidisciplinary teams to enhance Canada's ability to innovate.⁵ Publications such as The Importance of Post-Secondary Education (1987) [Canadian Manufacturer's Association] and Ten Years to 2000: A Strategy Document (1989) [Natural Sciences and Engineering Research Council] have also stressed the critical role that interdisciplinary and multidisciplinary team research and collaboration among sectors will play in the development of solutions to the social, political and economic challenges facing mankind today and in the future.⁶

The Academic Advisory Committee notes that the societal need for this program has been confirmed by representatives of local and international industries. One student currently enrolled in the program is working with a local company, Peterborough Paper Converters (PPC), to model the effectiveness and waste reduction capabilities of new technologies in a paper-coating process. The President of Digital Equipment of Canada provided additional evidence of the program's relevance:

I found the proposed program to be very relevant to the needs of our industry and to research activities in general. As an Information Technology firm we are very familiar with the growing need and dependence on modelling in a wide variety of applications. The benefits of effective modelling (as with simulation) has led to breakthrough research in many fields.

Of particular interest and importance is the interdisciplinary nature of this program. It is very clear to us in our industry as with most others that the classical barriers between the sciences are no longer germane or desirable. Within Digital, chemistry, physics, mathematics, ergonomics and economics are regularly applied in the engineering function. Similar examples are available throughout the fields of medicine, earth science and economics....The opportunity to further the important

3. Ibid.

4. Ibid., p. 7.

5. Ibid.

6. Ibid.

work of modelling across a number of disciplines should be encouraged for its relevance and value of information sharing that is the cornerstone of education.⁷

These views are echoed by the President of Northern Telecom Canada Ltd. who stated:

I believe that this Masters level program will produce graduates with skills applicable to the information technology sector. The cross-fertilization aspect of the program will help graduates learn to appreciate the perspective of others and to develop communication skills, qualities that are very important as employees in major corporations find themselves working more in team environments. Northern Telecom would be interested in considering graduates from this new program in the future.⁸

From the point of view of the academic need for the program, the Natural Sciences and Engineering Research Council of Canada commented that the program was:

certainly in keeping with the philosophy of our new program [Collaborative Project Grants] which is to seek to increase the research capacity of excellent or highly promising researchers by encouraging them to collaborate on research projects at the forefront of their fields. As well, NSERC and the Social Sciences and Humanities Research Council have developed mechanisms to support interdisciplinary research...and we are currently exploring other mechanisms to support this type of research.⁹

Trent University also provided the Committee with statistics indicating that there were approximately 9 faculty positions, advertised per month in the CAUT Bulletin and University Affairs, for which program graduates who obtained a Doctorate would be qualified.

The proposed program would be unique in Ontario. This was verified in consultation with the University of Waterloo which offers an Applied Mathematics program.¹⁰ Trent University indicates that the only similar programs exist outside Canada, at Humbolt State University in Oregon; Claremont College in California; and at Oxford University in the United Kingdom.

The University indicates that in 1992-93, the first year of the program's operation, there were two full-time and two part-time students enrolled in the program. One of the full-time students entered with an NSERC scholarship. The steady-state total admission level per year of eight students is expected to be achieved within the first five years. The projected steady-state total enrolment level is 16 students.¹¹

7. Letter from Mr. Kenneth B. Copeland, President, Digital Equipment of Canada Limited, Toronto, to Professor Colin H. Taylor, Associate Dean of Research and Graduate Studies, Trent University, July 14, 1992.

8. Letter from Mr. G.A. Sakus, President, Northern Telecom Canada Ltd., to Mr. Colin H. Taylor, Associate Dean of Research and Graduate Studies, Trent University, July 17, 1992.

9. Letter from Mr. Peter Morand, President, Natural Sciences and Engineering Research Council of Canada, to Mr. Colin H. Taylor, Associate Dean of Research and Graduate Studies, Trent University, July 20, 1992.

10. Trent University, Op. cit., See Appendix "G": Letters re: Overlap with Related Graduate Programs.

11. Ibid., p. 14.

The University estimates that although some student demand will originate from students graduating from such Trent programs as Mathematics, Computer Studies, Psychology and Economics, the majority of students will enter from Honours programs at other universities in Ontario. Part-time students are expected to be predominantly from the Peterborough region.

The Academic Advisory Committee notes that the program was reviewed and supported by the student representatives of the Trent University Senate.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed program is consistent with the University's long-range academic plans which were established in view of Trent University's specifically-defined role in graduate education, as determined by the conditions of the University's Differentiation Grant. Trent University indicates that the addition of the proposed program will ensure that faculty in almost all disciplines will have a means by which to participate in graduate education. The Applications of Modelling in the Natural and Social Sciences MA/MSc program has been included in the University's five-year graduate plan since 1986.

The interdisciplinary focus of the program is consistent with the basic philosophy of Trent University, which is to promote interaction among disciplines as much as possible.¹² This approach is evident at the undergraduate level in programs such as Environmental and Resources Studies, Comparative Development Studies, Cultural Studies, Computer Studies and Canadian Studies. At the graduate level, the University offers interdisciplinary "umbrella" programs in Canadian Heritage and Development Studies, Watershed Ecosystems and Freshwater Science, and Methodologies for the Study of Western History and Culture.

The Academic Advisory Committee notes that the University has in place the faculty, laboratory facilities, library resources and space necessary to support the program.¹³

The Academic Advisory Committee is satisfied that the proposed MA/MSc program in Applications of Modelling in the Natural and Social Sciences is consistent with the aims, objectives and existing strengths of Trent University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts and Master of Science program in Applications of Modelling in the Natural and Social Sciences at Trent University be recommended by Council for funding eligibility.

Academic Advisory Committee

November 13, 1992

12. Ibid., p. 16.

13. Ibid., pp. 16 to 23.

Appendix S

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Methodologies for the Study of Western History and Culture (MA)
Trent University**

**New Graduate Program
Considered for Funding Eligibility**

On October 28, 1992, Trent University requested that Council reconsider its Master of Arts (MA) program in Methodologies for the Study of Western History and Culture for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. Since this program had previously been reviewed for funding eligibility and Council found that there was insufficient evidence of societal need and demand for the program,¹ it was first necessary to verify that there was significant new information contained in the submission to warrant reconsideration. This verification having been undertaken and the submission found to contain significant new information, the program was reviewed by the Academic Advisory Committee on a de novo basis. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on September 19, 1986.

2. Societal Need and Student Demand

The Master of Arts program in the Methodologies of Western History and Culture stresses "interdisciplinary reflection on the structure of modern knowledge...[with an] emphasis...on issues pertaining to the analysis and interpretation of Western culture."² Specifically, the purpose of the program is "to provide an intensively interdisciplinary environment for the study of contemporary methodological issues in the contemporary humanities and social sciences, particularly where these bear on the analysis and interpretation of Western culture, past and present..."³ The program prepares students for Doctoral studies and eventual academic careers in a variety of disciplines and interdisciplinary areas related to the study of Western history and

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1. See the Ontario Council on University Affairs, Fourteenth Annual Report, "Advisory Memorandum 87-XIV - Graduate Program Funding", p. 183.
 2. Trent University, Application to the Ontario Council on University Affairs for Funding of an Interdisciplinary MA Program in the Humanities and Social Sciences: Methodologies for the Study of Western History and Culture, October 1992, p. 3.
 3. Ibid., p. 5.

culture. It also provides an opportunity for the reorienting, and/or expansion of career opportunities for those pursuing professional careers in areas such as the media, non-university education, law, the environment, and government service.⁴

Trent University argues that - in the broadest sense - the needs, which this program is designed to address, are socio-cultural and "arise from the widely held imperative (in Canada and elsewhere) to break out of specialised and technicist habits of thought in order to address the increasingly complex issues that have arisen in an increasingly complex world."⁵ The Academic Advisory Committee noted that significant support for the program was expressed by the academic community. For example, the President of the Social Sciences and Humanities Research Council of Canada stated:

The SSHRC is convinced that the impact of new scientific, technological, political, economic and environmental developments on society and individuals has become so massive and pervasive that multidisciplinary perspectives are needed to deal with research issues of great consequence to the nation's well-being. In an era of globalised markets, Canadian business increasingly requires personnel trained in the social sciences and humanities, and in possession of a wide variety of knowledge and skills. As a result, the Council anticipates substantial demand from all sectors for interdisciplinary researchers capable of addressing complex issues in an international context.

It is clear that social sciences and humanities researchers trained within a multidisciplinary *milieu* will be well-suited to meeting the exigencies of society and future employment markets. I would expect that graduates of the MA program in Methodologies for the Study of Western History and Culture will possess the range of skills and perspectives required for tackling complex societal problems, as well as fulfilling the demand for highly-qualified personnel in the public and private sector.⁶

An increase in the number of disciplines hiring individuals with an academic background, which includes interdisciplinary theoretical reflection, has been noted on an international level. Trent University provided the Committee with evidence that an examination of English-speaking tenure track positions advertised in University Affairs between 1989 and 1992 revealed that, of the 430 positions advertised in Humanities and Social Science disciplines, 100 explicitly solicited candidates with interdisciplinary interests in culture and/or related expertise in contemporary theoretical and methodological issues.⁷

Further evidence of the fit between this program and academic needs is the academic career paths of program graduates. Trent University stated:

Just over half of those admitted to the program between 1988 and 1991 indicated a strong interest in doctoral studies. All six of those who have so far applied have

4. Ibid.

5. Ibid., p. 6.

6. Letter from Dr. Paule Leduc, President, Social Sciences and Humanities Research Council of Canada, to Dr. John O. Stubbs, President and Vice-Chancellor, Trent University, September 1, 1992, p. 2.

7. Trent University, Op. cit., p. 12.

been successful, gaining admission to the following PhD programs: Social and Political Thought, York; Philosophy, U of Toronto; Cultural Studies in Education, OISE; Critical Pedagogy, OISE; History, U of Toronto; and Philosophy and Literature, Warwick.⁸

In addition to meeting academic sector needs related to long-term trends in interdisciplinary teaching and research, the program is producing graduates who are prepared to meet a variety of needs in a professional context outside academe where, Trent University notes, "the complexity of practical issues in a globalised world places a premium on a multi-dimensional and culturally reflexive approach to problem-solving and policy development..."⁹ The program was deemed to provide an education relevant to individuals and organizations grappling with practical issues where the ability to combine and synthesize specialist perspectives, and critique fundamental assumptions and paradigms is crucial. In support of the need for program graduates, Mr. Walter Pitman, Chair of the Ontario government's Task Force on Advanced Training states:

My enthusiasm for [the Methodologies] program has been enhanced by my experience in education at every level...The major contrast between what young people experience in school and the 'real life' they perceive beyond institutional walls is the discipline fragmentation that makes knowledge either unintelligible or irrelevant in their eyes... The difficulties [of devising appropriate curricula] are enormous as the school, college, university 'workforce' is, by its own academic experience, unprepared for such a curriculum...

The Program on Methodologies is the perfect vehicle for those who will be involved in moving both our private and public sectors towards the creation of a 'workforce' for the 21st century. Canada, and Ontario, are unfortunately somewhat behind both Europe and the Pacific Rim in these matters. That Trent should provide such leadership is reassuring indeed...It is my observation that every major issue that confronts Canada from constitution making to environmental solutions is dependent on people who can range across a myriad of disciplines in a rigorous and exemplary fashion...It is also my observation that your graduate course prepares individuals to do just that.¹⁰

The need for program graduates in the broader cultural sector of the economy was verified by the CEO of Harbourfront who stated:

As one who has been involved in the Canadian cultural sector for more than twenty years I am particularly interested in the development of this programme which addresses the need for an interdisciplinary approach to cultural issues...I am not aware of any other programme like this in the country and I believe it is a very important addition to the field of academic cultural studies.

8. Ibid., p. 12.

9. Ibid., p. 8.

10. Letter from Mr. Walter Pitman, Chair, Task Force on Advanced Training, Ministry of Colleges and Universities, to Dr. John O. Stubbs, President and Vice-Chancellor, Trent University, August 27, 1992, pp. 1 - 2.

I have now been involved for many years in the area of training and development for those wishing to be involved in the Canadian cultural sector. This has become over the past twenty years, a large area of professional employment and is a key sector affecting the social and cultural needs of this country. Professionals in the area of cultural and arts administration have a profound effect on the shaping of Canadian society and the Canadian cultural psyche. The single most important lack I see in the academic training of individuals entering the field is the absence of an historical and cross disciplinary base to the understanding of Western culture. The Trent programme seems to address this lack squarely and imaginatively. The absence of a solid foundation in the historical roots of our culture is evident throughout the profession today and it is an urgent need that must be addressed. Without this type of academic study and training, professionals in the field will be unable to address adequately the fundamental issues facing them as they attempt to direct the major cultural institutions and organizations shaping this country.¹¹

The Academic Advisory Committee reviewed numerous other letters verifying the societal need for the Methodologies for the Study of Western History and Culture program, from Mr. Lionel H. Lawrence, Consultant and former Dean of Fine Arts, York University; Mr. Peter Herrndorf, Chairman and Chief Executive Officer, TVOntario; Mr. David Galloway, Chief Executive Officer, Torstar; Mr. Michael Finlayson, Vice-President - Human Resources, University of Toronto; Department of English, University of Washington; The Calgary Institute for the Humanities, University of Calgary; Faculty of Graduate Studies, York University; and Dr. Calvin Schrag, Perdue University.

The Academic Advisory Committee notes that there are two somewhat similar programs already in place within the Ontario university system which are interdisciplinary, theoretically-oriented and focussed on culture: the MA program in Theory and Criticism at the University of Western Ontario; and the MA in Social and Political Thought at York University. The Trent University submission contained a detailed description of the similarities and differences between the proposed program and the existing two programs, as well as a statement regarding the impact of the proposed program on existing program enrolments.

Evidence provided by the University of Western Ontario suggested that both the focus and theoretical approach of the program at Trent University differ from its program and that there is a general shortage of places in interdisciplinary programs at the graduate level; therefore, no adverse impact on enrolments was anticipated. Specifically, the University of Western Ontario indicated:

...Trent's valuable program concerns itself primarily with "methods" of "interpreting" Western history and culture and thus, has a somewhat different focus and structure from that of the Centre's program. The "Methodologies" program orients itself specifically towards hermeneutics and methodology, while the MA program in Theory and Criticism attempts to investigate a range of theoretical formations...and the discourses through which these theories are articulated.

Furthermore, the structure and requirements of the Trent program are different from those of the Centre's MA in Theory...although there are certain similarities between the two programs, there are differences in fields of specialization, organizational structures, courses, and overall objectives.

11. Letter from Mr. William J.S. Boyle, General Manager and Chief Executive Officer, Harbourfront Centre, to Dr. John O. Stubbs, President and Vice-Chancellor, Trent University, August 24, 1992.

...This more general need for critical and self-reflexive interdisciplinary graduate study in humanities and social sciences can be seen in the numbers of applicants who have applied to the Centre's MA Program in Theory and Criticism. There were 38 applicants the first year (1990-91); 67 in 1991-92; and 75 in 1992-93. Each year 7 students were admitted (the maximum number the program can support at this time), although there were at least 20-25 qualified students in each applicant pool. When these figures are taken together with those from the "Methodologies" program and those from the (slightly more social-science oriented) Social and Political Thought Program at York University, it is clear that the supply of graduate places in interdisciplinary programs of this kind is insufficient to meet the demand. Consequently, many qualified students are forced to leave the province and the country to pursue studies elsewhere. It seems very likely, moreover, that this high demand will continue since, as noted above, there is a growing trend towards this type of interdisciplinary theoretical reflection within the humanities and social sciences.¹²

Although the material submitted by York University suggested that there was significant overlap between the two programs, the Director of the program at York University indicated that

[t]he overlap does not worry me in the least. There is no indication that our enrolment has been affected in the slightest or that it will be affected in future. Student demand is indicated by the number of applications for admission to our programme - 131, of which seven were admitted and accepted for the M.A. and five for the Ph.D...¹³

The Academic Advisory Committee is satisfied that the duplication of existing funded programs in this case is justifiable on the basis of the long-term and substantial societal need and student demand for such programs.

The Methodologies for the Study of Western History and Culture program has been in operation for four years. Between 1988-89 and 1991-92, 19 students were admitted to the program - 15 were admitted on a full-time basis and four were admitted on a part-time basis. Trent University notes that most mature students in the program are part-time and are drawn from the Peterborough area. The majority of full-time students admitted came from within Ontario. However, the number of students admitted from across Canada has ranged from one in 1989-90, to three in 1991-92 and two in 1992-93. Applications originating from the United States, China, Germany and Australia have been received but none of the candidates were admitted to the program. Nine students have graduated to date. Six additional students entered the program in the Fall of 1992. Student demand for the program has been steadily increasing. Trent University anticipates no difficulty in achieving a projected steady-state total admission level of eight students per year within the next three years.¹⁴

12. Letter from Dr. Martin Kreiswirth, Director and Associate Professor of English, Centre for the Study of Theory and Criticism, The University of Western Ontario, to Dr. Andrew Wernick, Director, Graduate Program in Methodologies for the Study of Western History and Culture, Trent University, October 23, 1992.

13. Letter from Dr. Fraser Cowley, Professor and Director, Social and Political Thought, York University, to Professor Andrew Wernick, Director, Graduate Programme in Methodologies for the Study of Western History and Culture, Trent University, October 22, 1992.

14. Trent University, *Op. cit.*, p. 18.

The Academic Advisory Committee reviewed evidence of student support for the program and significant interest on the part of undergraduate students at Trent, particularly those enrolled in Cultural Studies, in pursuing such a program.¹⁵

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The Methodologies for the Study of Western History and Culture program builds on 15 years of offering an undergraduate program in Cultural Studies, which has become the sixth largest department at Trent University. It is consistent with a longstanding pattern of program development at Trent University which focuses on an innovative and highly-structured approach to the development of multidisciplinary teaching and research. This approach is consistent with the requirements of the Differentiation Grant provided by the Ontario government to Trent University since 1981, which has restricted the University to a limited network of interdisciplinary or "umbrella" graduate programs and which required the closure of a number of single discipline graduate programs.

Participating faculty are drawn from 12 different departments. Corollary strengths at the undergraduate level exist in the departments of English, Classics, Cultural Studies, History, Philosophy, Anthropology, Administrative Studies, Computer Studies, Environmental Studies, Native Studies, Political Studies, Women's Studies and Sociology.

The Academic Advisory Committee notes that library resources have been recently enhanced by an \$18,000 allocation to the program for new acquisitions and that the necessary physical and computer facilities are also in place.

Trent University indicates that a research committee has been established by those involved with the "Methodologies" program to establish a formal research centre for the study of Theory, Culture and History, and that external funds are being obtained to that end. The research arm of the program has also been successful in obtaining SSHRC funding under the "Aid to Research in Small Universities Program". This funding has supported a program of distinguished visiting speakers to launch a publications project and to organise special events including symposiums and conferences.¹⁶

The program has been included in the University's five-year graduate plan since 1982 and has been in operation since 1988-89.

The Academic Advisory Committee is satisfied that the proposed MA program in Methodologies for the Study of Western History and Culture is consistent with the aims, objectives and existing strengths of Trent University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Methodologies for the Study of Western History and Culture at Trent University be recommended by Council for funding eligibility.

Academic Advisory Committee
November 13, 1992

15. Ibid., Appendix 9.

16. Ibid., pp. 30 - 31.

Appendix T

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Gerontology (MA Professional and MA Discipline-Oriented)
University of Waterloo**

**New Graduate Program
Considered for Funding Eligibility**

On October 26, 1992, the University of Waterloo requested that Council consider its new Master of Arts (MA) program in Gerontology for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that each stream of this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on November 20, 1987 (Discipline-Oriented stream) and on June 13, 1989 (Professional stream). Subsequently the program was reviewed in a periodic appraisal on February 14, 1992 and was identified as being of "Good Quality With a Report". The report is required to be submitted by September 30, 1994. The report was requested due to concerns of the Ontario Council on Graduate Studies regarding the impact of the impending retirement of a key faculty member. The Ontario Council on Graduate Studies noted:

Although the Committee recognizes that the academic and management personnel are in place to assume the operation of the programme (particularly the professionally-oriented aspect), it appears as though [this] retirement will have a big impact on research funding, student support, and student supervision. The report must, therefore, provide the Committee with sufficient information about these matters so that it might assess the implications.¹

The Academic Advisory Committee notes that the OCGS definition of the appraisal category "Good Quality With a Report" is as follows:

Programmes that have achieved a level of good quality at the time of the appraisal, but for which either it is expected that problems will develop before the next periodic review, for example, due to retirements of senior faculty, or new developments have been recently introduced that require monitoring prior to the

1. Letter from Dr. Maurice Yeates, Executive Vice-Chair, OCGS, to Dr. P. Rowe, Dean, Graduate Studies Office, University of Waterloo, November 6, 1991.

next periodic review. Such programmes are approved to continue with a report called for after a specific period of time.²

The University of Waterloo indicated that pursuant to the concerns raised by OCGS regarding an impending faculty retirement, an additional Assistant Professor and Full Professor have been appointed to the program.³

2. Funding Recommendation

In view of the fact that the report requested by the Ontario Council on Graduate Studies indicates that the impending retirement of a key faculty member, which, if not addressed to the satisfaction of OCGS, will have a detrimental impact on the quality of the program, the Academic Advisory Committee is of the opinion that it is not in a position to assure the Ontario Council on University Affairs that, over a reasonable period of time, the MA program in Gerontology at the University of Waterloo meets both the spirit and the letter of its first criterion:

That the program has passed a rigorous academic appraisal as certified by the Council of Ontario Universities, and at the time of appraisal was not found to require improvements.⁴

Since OCGS has requested that a report be submitted to them by September 30, 1994, the Academic Advisory Committee believes that it would be more appropriate to reconsider this program for funding eligibility during a subsequent cycle of reviews and after OCGS has come to a determination regarding the long-term quality implications of the above-mentioned retirement. At this time, the Academic Advisory Committee notes that the University of Waterloo has taken steps to obtain additional faculty for the program. However, the Committee is not in a position to evaluate whether or not these actions would satisfy the concerns expressed by OCGS.

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Gerontology (Professional and Discipline-Oriented streams) at the University of Waterloo not be recommended by Council for funding eligibility.

Academic Advisory Committee
March 12, 1993

2. Ontario Council on Graduate Studies, OCGS By-Laws, and Procedures Governing Appraisals, October, 1992, p. 24.

3. University of Waterloo, Gerontology Funding Proposal, October 1992, p. 4.

4. Ontario Council on University Affairs, Program Procedures Manual, pp. 2.1.1 and 2.1.2.

Appendix U

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Religious Studies (MA)
University of Waterloo**

**New Graduate Program
Considered for Funding Eligibility**

On October 26, 1992, the University of Waterloo requested that Council consider its new Master of Arts (MA) program in Religious Studies for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 16, 1992.

2. Societal Need and Student Demand

The proposed Master of Arts program in Religious Studies would offer specializations in three fields: Interreligious Studies, Education Studies and Theological Studies. The University of Waterloo describes the three areas of specialization as follows:

Interreligious Studies focuses on the study of the encounter and relations between religious traditions and the responses of religious traditions to an increasingly pluralistic world. Education Studies emphasizes the study of the transmission of Christian as well as other religious traditions of thought, practice and life within a pluralistic world. Theological Studies explores the theological, ethical and social dimensions of the Christian traditions, particularly of a religious minority, the Anabaptist-Mennonite community.¹

The program would be available to students wishing to study on a full-time or part-time basis. It would prepare graduates for designing and implementing non-discriminatory social policies; teaching of religion, culture and values; and for religious service in a pluralistic context.

The Academic Advisory Committee noted that there were six other Master of Arts programs in Religious Studies offered in Ontario, located at Carleton, McMaster, Ottawa, Toronto, Wilfrid Laurier and Windsor Universities. Macroindicator Data 1991-92 suggests that total full-time and part-time enrolment in these programs has been fairly stable over the past seven years. Full-time enrolment has declined slightly from 68 students in 1985-86 to 65

1. University of Waterloo, Master of Arts in Religious Studies: Proposal for Funding, October 26, 1992, p. 1.

students in 1991-92. Part-time enrolment has similarly decreased from 43 students in 1985-86 to 36 students in 1991-92.²

The University of Waterloo stated in its submission that "[n]o other programme like this exists in Canada."³ However, in compliance with the criteria established by OCUA, the Committee requested that the University of Waterloo contact each of the existing MA programs in Religious Studies to verify this attestation. It was the conclusion of the University of Waterloo that:

The proposed programme for a MARS [Master of Arts in Religious Studies] at the University of Waterloo does not *duplicate* the *programmes* at Windsor, McMaster, U. of Toronto, Queen's, Carleton, University of Ottawa, and Wilfrid Laurier University. Nor is there significant overlap between the UW MARS programme and the existing programmes...Nevertheless, there is inevitable overlap in some *particular courses* since the U/W programme is an M.A. in the common discipline and field of Religious Studies. But this minor overlap is *in particular courses* and is *not equivalent to a duplication of programmes*.⁴

In view of the conclusions drawn by the University of Waterloo in comparing the proposed program with other universities' programs, the Academic Advisory Committee carefully reviewed statements of other institutions regarding the degree of similarity between their MA programs in Religious Studies and the University of Waterloo proposal and, as well, the anticipated impact of the proposed program on existing Religious Studies enrolments. Letters from five institutions (Saint Paul University in the University of Ottawa, Carleton University, University of Toronto, University of St. Michael's College in the University of Toronto and McMaster University) indicated that, although some of the University of Waterloo courses would duplicate current offerings, the proposed program would not overlap significantly with existing programs and would have only a negligible impact on enrolment levels.⁵

Of concern to the Committee, however, were the comments provided by Wilfrid Laurier University, which believe there would be significant duplication or overlap between the two programs at the level of both specific courses and areas of specialization.⁶ The Committee is less concerned with potential overlap at the specific course level (acknowledging the University of Waterloo's comment that some duplication is inevitable)⁷ than with the prospect that two separate programs in Religious Studies, sharing the same basic approach, should be offered in the same region of the province.

2. Ontario Council on Graduate Studies, Graduate Macroindicator Data 1991-92: Ontario, September 1992, p. 131.

3. University of Waterloo, Op. cit., p. 4.

4. Ibid., pp. 2 - 3.

5. University of Waterloo, Response to OCUA request for additional information, January 28, 1993, Attachments.

6. Letter from Dr. Robert Fisher, Chair, Department of Religion and Culture, Wilfrid Laurier University, to Dr. M. D. Bryant, Chair, Department of Religious Studies, University of Waterloo, January 27, 1993, pp. 3 - 5.

7. Memorandum from Dr. M. D. Bryant, Chair, Department of Religious Studies, University of Waterloo, to Dr. Patricia Rowe, Dean of Graduate Studies, University of Waterloo, March 1, 1993, pp. 4 - 6.

Particularly noteworthy was Wilfrid Laurier University's view of the anticipated impact on its enrolments if the proposed University of Waterloo program were established:

It is simply not possible to answer this question honestly without saying "yes", it will affect our enrolment negatively. It is inevitable, with another MA in this field available a kilometre away, that we would lose students to it . . . It is hard to see the University of Waterloo Master of Arts in Religious Studies established as described in the present document and reaching the projected enrolments given in it without having a negative effect on our enrolment. It is very doubtful that all of these new students would be generated de novo.⁸

In view of this information, the Academic Advisory Committee cannot recommend the proposed program for funding eligibility. The Committee is not convinced of the societal need for an additional MA program in Religious Studies in the Waterloo region.

In light of the recently-established Doctoral program in Geography offered jointly by the two universities, and given the evidence from Wilfrid Laurier University⁹ and University of Waterloo¹⁰ of consultation over a number of years during the development of this particular proposal, the Academic Affairs Committee encourages the two institutions to initiate serious discussions to develop an integrated Master of Arts program in Religious Studies. Such a development would utilize the unique strengths and expertise of each institution, would avoid unnecessary program duplication and would provide students with a broader range of specializations within a single program.

3. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Religious Studies at the University of Waterloo not be recommended by Council for funding eligibility.

Academic Advisory Committee
March 12, 1993

8. Dr. Robert Fisher, Op. cit., p. 5.

9. Letter from Dr. Peter Erb, Professor and former Chair, Department of Religion and Culture, Wilfrid Laurier University, to Dr. M. D. Bryant, Chair, Department of Religious Studies, University of Waterloo, January 22, 1993.

10. Letter from Professor Patricia M. Rowe, Dean of Graduate Studies, University of Waterloo, to the Ontario Council on University Affairs, March 8, 1993.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Business Economics (MA)
Wilfrid Laurier University**

**New Graduate Program
Considered for Funding Eligibility**

On October 28, 1992, Wilfrid Laurier University requested that Council consider its new Master of Arts program in Business Economics for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on February 14, 1992.

2. Societal Need and Student Demand

The proposed program in Business Economics focuses on a branch of Applied Economics and is located within the School of Business and Economics. The purpose of the program is to provide graduates of Honours Economics or Business programs with advanced training in Business Economics in order that they may pursue careers requiring specialization in Economic Forecasting, Economic Policy Analysis, Industry and Market Analysis, Financial Economics, Strategic Planning and Public Policy and Business.¹ The program is directly oriented towards the needs of the business community and was developed in collaboration with the Canadian Association for Business Economics (CABE). A co-operative study stream is available.

Although program graduates will also be qualified to pursue Doctoral studies within a Department of Economics upon completion of the proposed degree, it is projected that most will be employed as professional economists in the public or private sector. In its submission, Wilfrid Laurier University notes that of the 15,000 professional economists in Canada, about one-third are employed in government service, while the remaining two-thirds work in the private sector.² Employment opportunities for professional economists are expected to continue to grow into the future at a rate greater than that of the entire labour force.

The Committee notes that this program is innovative in a number of ways. No other graduate program in Ontario is specifically designed to train business economists, despite the importance of the private sector as a source of employment for Economics graduates. The

1. Wilfrid Laurier University, A Request for Funding for the MA Program in Business Economics at Wilfrid Laurier University, October 28, 1992, p. 2.

2. Ibid., p. 4.

significant emphasis on applied Economics and practice, and its location within a School of Business and Economics also differentiate the program from the Master's programs currently offered at 11 other institutions.

Despite the innovative aspects of the proposed program, the Committee was careful to review documentation provided by other institutions to ensure that the proposed program did not needlessly duplicate programs available elsewhere. Comments received by the Committee indicated that despite some similarities with existing programs, the national nature of student demand for such programs, the explicit applied focus on training graduates for employment in private business, and the small number of students projected to enrol at the steady-state differentiated this program from existing programs to the extent that existing programs did not anticipate a detrimental impact on their enrolment levels.³ With the exception of the University of Waterloo, no existing programs offered a co-op option.

The need for program graduates is primarily economic. Graduates will contribute to the efficiency and expansion of the economy and their contributions will be made in both the private and public sectors. This is attested to in letters from potential employers of graduates such as the President of Strategic Projections Inc. who indicated:

...I have supervised the work of many professional economists, recruited newly trained graduates and been involved in discussions with other managing economists concerning their human resource needs. As a result of this experience I have been aware for some time of the need for a master's program in business economics. Business economists differ from other economists in a number of ways:...

Most master's programs in economics in Canada provide graduates with the theoretical underpinnings required for a successful career in business economics. But those same programs...are not designed to prepare students in the areas unique to the pursuit of business economics...Master's graduates in economics must typically learn much of what is unique to business economics through on-the-job training. I believe the master's program in business economics you are now offering goes a long way toward rectifying this situation.⁴

Evidence of the need for program graduates was also provided by potential employers such as Novacor Chemicals Ltd., Sun Life Assurance Company of Canada, and the Royal Bank. A number of employers indicated that the co-op option was an asset to the training of future employees.

The proposed program was strongly endorsed by the Canadian Association for Business Economics (CABE), which provided Wilfrid Laurier University with advice on the curriculum, and confirmed the need for program graduates. Individual members of CABE will be contributing to the program as guest lecturers, seminar participants, co-op employers, and research advisors.

To ascertain the potential student demand for the proposed program, Wilfrid Laurier University conducted a survey of graduating students in Economics across Canada, the results of which suggested that "a master's program in business economics which offered a co-op option

3. Letters from The University of Western Ontario, McMaster University, Queen's University, the University of Toronto; telephone comments from the University of Waterloo; and additional information provided by Wilfrid Laurier University, Letter of December 17, 1992.

4. Letter from Mr. Thomas W. McCormack, President, Strategic Projections Inc., to Dr. Frank Millerd, Chair, Department of Economics, School of Business and Economics, Wilfrid Laurier University, October 14, 1992.

might attract a 20% share of the total enrolment in graduate programs in economics and business administration."⁵

Advertising of the program in March of 1992 substantiated the significant student demand which exists for this program. Wilfrid Laurier University indicates:

Our original target for the first year was six students. Despite the fact that many eligible students had accepted an offer of admission from an existing MA program by March, over 40 applications were received and ten highly qualified students were admitted to the first class in September, 1992. We continue to receive inquiries from across Canada about admission for January, 1993 and beyond.⁶

Student demand is projected to be national in origin. Very few, if any, Visa student enrolments are anticipated.

Wilfrid Laurier University anticipates achieving a steady-state total enrolment level of no more than 20 students within two to three years. Between 50% and 60% of students enrolled are expected to take advantage of the co-operative study option.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

Wilfrid Laurier University indicates that the MA program in Business Economics has been part of the long-term plan of the Department of Economics for a number of years, and is a natural extension of the Honours Economics undergraduate program. The program is consistent with the mission statements for the University, the School of Business and Economics and the Department of Economics.⁷

The program has been included in the University's five-year graduate plan since 1983.

In addition to the 20 full-time faculty in the Department of Economics, the program will benefit from MA electives offered by 10 of the full-time faculty members in the Department of Business. The School of Business and Economics Office of Co-operative Education has been successful in providing relevant work-term placements for undergraduate Economics students since 1979.

The proposed program will benefit from several research centres and institutes within the School of Business and Economics including the Laurier Institute for Business and Economic Studies, which develops and delivers a variety of management courses; the Research Centre for the Management of Advanced Technology (REMAT), which is active in research concerning the adoption and use of technology, and in the transfer of this knowledge to firms adopting and using new forms of technology; and the Laurier Trade Development Centre which develops programs to assist firms with exporting and promotes exchanges with other countries.⁸

Library holdings in the area of Economics and Business are deemed to be "outstanding" by the University, which cites extensive holdings of serials, books and other materials including

5. Wilfrid Laurier University, Op. cit., p. 7.

6. Ibid., p. 8.

7. Ibid., Appendix D, Wilfrid Laurier University, Mission Statement; School of Business and Economics, Mission Statement; and Department of Economics, Mission Statement.

8. Ibid., p. 9.

census and government documents. Computer facilities are significant and include a mainframe computer, a local area network connecting a large number of personal computers and many individual computers. The University holds site licences for all major Business and Economics software packages.

The Academic Advisory Committee is satisfied that the proposed MA program in Business Economics is consistent with the aims, objectives and existing strengths of Wilfrid Laurier University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in Business Economics at Wilfrid Laurier University be recommended by Council for funding eligibility.

Academic Advisory Committee

January 8, 1992

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Computer Science (MSc)
University of Windsor**

**New Graduate Program
Considered for Funding Eligibility**

On October 28, 1992, the University of Windsor requested that Council consider its new Master of Science (MSc) program in Computer Science for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on June 16, 1992.

2. Societal Need and Student Demand

The University of Windsor indicates that the purpose of the program is threefold: to help meet an increasing demand in Canada for Computer Science graduates at the Master's level; to increase the opportunity for study of Computer Science at the graduate level; and to improve the academic environment in the School of Computer Science at the University of Windsor.¹

The MSc program in Computer Science at the University of Windsor consists of six courses plus a thesis. Fields of study in which thesis work can be conducted include: 1) advanced computer architecture; 2) advanced database systems; 3) theoretical/scientific computing; and 4) programming languages and programming environments. The University argues that the first field of study is highly relevant to Canada's communications industry, in particular to Bell Northern Research, a company that has indicated difficulty in recruiting qualified staff. The second field of study prepares students for positions in the growing area of the use of artificial intelligence techniques in database applications. The third area provides students with an understanding of theoretical Computer Science issues relating to applications in Physics, Networking and Operations Research. The fourth area of study concerns issues that are central to Software Engineering and prepares students for positions in software development laboratories, such as IBM's Toronto laboratory which has also indicated great difficulty in recruiting appropriately skilled employees.²

1. University of Windsor, Submission of the University of Windsor to the Ontario Council on University Affairs concerning the M.Sc. Program in Computer Science, October, 1992, p. 7.

2. Ibid., p. 13.

In addition, the University of Windsor cites a recent study completed in March of 1992 by Peat Marwick Stevenson & Kellogg for Employment and Immigration Canada entitled Software and National Competitiveness: Human Resource Issues and Opportunities, which was initiated by the Canadian Advanced Technology Association (CATA) and the Canadian Information Processing Society (CIPS). The findings of this study were described as both "compelling and disturbing".³ The study indicated that among software-specific companies, there is a current and growing shortage of workers. While annual growth in the software industry is projected at 20%, the numbers of workers available to the industry are dwindling. The report also notes that "[t]he traditional source for entry-level software workers, the Canadian university, is producing fewer computing science graduates."⁴

The report concludes that there is now, and will continue to be until well into the 1990s, a national and international demand for additional software workers, with potential additions to the software workforce increasing from about 21,000 in 1991 to about 26,000 per year by 1995. It notes that the total supply from all sources is likely to be in the order of 15,000 to 17,000 per year during this period, resulting in an estimated shortfall of between 6,000 and 9,000 workers annually between 1991 and 1995. Although shortages exist at all levels, they are the most severe where very current technology skills or post-graduate education are needed.⁵ It was found that 75% of employees in the software industry had formal university training.

The ease with which all graduates of the University of Windsor program have found employment attests to the societal demand for graduates of advanced Computer Science programs. Since 1989 there have been five graduates of the program, all of whom were offered positions on or before graduating. Employers include the University of Windsor, BNR, IBM, UNITRAN and Dow Chemical. One of these graduates is simultaneously completing a PhD at the University of Ottawa. Others are employed as a systems programmer, a member of a scientific staff, a systems engineer and a senior technology analyst.

Despite the fact that there are 10 MSc programs in Computer Science in Ontario⁶ and there is a degree of similarity among programs, the Academic Advisory Committee was struck by the unmet student demand and societal need for graduates which persist in this field. A survey, undertaken by the University of Windsor of every existing Master's program in Computer Science, revealed a substantial number of qualified students who were not admitted to the existing programs due to the lack of resources to accommodate, supervise and teach in this field. The shortage of Doctoral graduates in Computer Science has exacerbated the dearth of faculty in the discipline. Funding restrictions have also limited capacity in existing programs. The University of Windsor notes that in addition to meeting an increasing societal need for graduates of the number of places available in advanced Computer Science programs in Ontario, the proposed program also meets a need for additional places where Master's-level education is available generally.

3. Employment and Immigration Canada, Software and National Competitiveness: Human Resource Issues and Opportunities, Detailed Report, Submitted by Peat Marwick Stevenson & Kellogg, Avt Associates of Canada and IDC Canada, March, 1992, p. 2.

4. Ibid., p. 3.

5. University of Windsor, Op. cit., p. 9.

6. These programs are located at Carleton/Ottawa (Information/Systems Science and joint Computer Science), Guelph, McMaster, Queen's, Toronto, Waterloo, Western, Windsor and York Universities.

It appeared to the Committee that the need for the University of Windsor program was strongly substantiated by other institutions within the Ontario University system. For example, The University of Western Ontario indicated:

There is a great need in Canada and in Ontario, in particular, for highly educated computer professionals. As the information technology field grows increasingly more complex and as computers and software continue to permeate the every day lives of so many people, computer scientists with M.Sc. and Ph.D. degrees will become more important to the industry.

We, at the University of Western Ontario would like to see more qualified Canadians pursuing Ph.D. degrees in Computer Science. A strong M.Sc. program at the University of Windsor would help fill the need for M. Sc. graduates in industry and provide a source of well educated students that could pursue Ph. D.s in our Department and elsewhere in Ontario.⁷

The Academic Advisory Committee reviewed documentation attesting to the fact that significant student support exists for the Master of Science program in Computer Science at the University of Windsor.⁸ A survey conducted by the University of Windsor of undergraduate students in computer science indicated widespread support for a Master's program in Computer Science.

The University of Windsor indicates that seven students enrolled in the program on a full-time basis, and one on a part-time basis, in 1989. An additional two students enrolled in 1990, six in 1991 and four in 1992.

The University expects to achieve a steady-state total enrolment in the program of 20 full-time and 12 part-time students by 1998.⁹ Student demand is expected to be significant and long-term. In its submission, the University indicates that with little advertising, applications have increased from 16 in 1989, to 76 in 1992. Recent increases in the level of NSERC funding attracted by the School of Computer Science have enabled the University to provide additional research assistantships. In turn, the University has decided that more aggressive promotion of the program is also now appropriate.

An aggressive strategy adopted by the University of Windsor to increase the number of undergraduate students in Computer Science and the significant interest in the Master's program expressed by the majority of students currently enrolled in the undergraduate program also suggest that student demand for the Master's program will continue to increase.

Finally, the University of Windsor notes that student demand for the program will be enhanced by the formal recognition of the long-term potential societal need and resultant career opportunities across Canada and North America in the area of computer science, particularly related to software development, which were identified by a study conducted by Peat Marwick et al.¹⁰

7. Letter from Dr. M.A. Bauer, Chair, Department of Computer Science, The University of Western Ontario, to Dr. Richard Frost, Director, School of Computer Science, University of Windsor (undated).

8. Letter from Ms. Sandra Wyman, Vice-President, Computer Science Society, University of Windsor, to Dr. Frost, School of Computer Science, University of Windsor, October 27, 1992.

9. *Ibid.*, p. 16.

10. *Ibid.*, p. 18.

The Academic Advisory Committee notes that approximately 45% of the students enrolled in the program have been Visa students. The University of Windsor notes that of the two Visa students initially enrolled in 1989, both have attained landed immigrant status.¹¹ Further, the dire shortage of graduates of advanced programs in Computer Science in Canada has created a significant reliance in the industry upon non-Canadians which was substantiated by the Peat Marwick et al. study.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

As indicated in the University of Windsor's Comprehensive Report of the Academic Planning Committee of Senate, 1990, the MSc program in Computer Science is consistent with the University's aims and objectives in the area of graduate studies. In addition, it provides an essential link within the Faculty of Science between the School of Computer Science and the Departments of Physics, Mathematics and Statistics, as well as with the Department of Electrical Engineering. The University also notes that links with Business Administration, Philosophy and Physics are developing. The Academic Advisory Committee notes that this is the first new graduate program to be established at the University of Windsor in 12 years.

The addition of a graduate program in Computer Science has made possible the strengthening of existing research links between departments and the development of new links. The campus-wide computing network, which fully integrates the School's computing resources with those of Computing Services and the Department of Electrical Engineering is being extended to other departments. This extension has facilitated the sharing of computing resources and collaboration on research projects. A specific example of this is the sharing of software licensing costs between departments which can access a single copy of the software from various sites across the campus.¹²

The interdisciplinary nature of the program has been recognized by the NSERC, which provided the School of Computer Science with significant support, including a strategic grant of \$240,000 to undertake collaborative research with the Department of Engineering.

Since 1989, the University of Windsor has spent \$592,000 on upgrading its computing environment, including the acquisition of a file-server and associated workstations, and a distributed computing network for teaching purposes.¹³ The University of Windsor states that its School of Computer Science provides graduate students with one of the most advanced computing environments anywhere in Canada.¹⁴ The faculty and library resources necessary to support the program are already in place.

The Academic Advisory Committee is satisfied that the proposed MSc program in Computer Science is consistent with the aims, objectives and existing strengths of the University of Windsor.

11. Ibid., p. 17.

12. Ibid., p. 21.

13. Ibid., p. 8.

14. Ibid.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Science program in Computer Science at the University of Windsor be recommended by Council for funding eligibility.

Academic Advisory Committee

November 13, 1992

Appendix X

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Ethnomusicology/Musicology (PhD)
York University**

**New Graduate Program
Considered for Funding Eligibility**

On October 30, 1992, York University requested that Council consider its new Doctor of Philosophy program in Ethnomusicology/Musicology for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on May 22, 1992.

2. Societal Need and Student Demand

York University states that graduates of the proposed program would possess the essential skills of the historical musicologist who traditionally studies European classical music and the ethnomusicologist who traditionally studies non-European and non-classical music. The York University Doctoral program effectively eliminates these conventional, but arbitrary distinctions.¹

The University identifies the specific objectives of the program as follows:

- to provide, within Canada, the first integrated programme at the Doctoral level in Ethnomusicology/Musicology, a branch of music study which is growing as a result of both social and intellectual factors, and to prevent migration of our best graduate students to Doctoral programmes in the U.S. and elsewhere;
- to build on the existing strengths of York University which has historically developed a pluralistic approach to music and has, consequently, appointed a larger number of faculty in culturally oriented studies than any other graduate programme in music in the country; and

1. York University, Request for Eligibility for Formula Funding PhD Programme in Ethnomusicology/Musicology, September, 1992, p. 2.

- to respond to the multiplicity of issues raised by an increasingly multicultural milieu in Toronto and elsewhere by developing a programme which will critically examine aspects of the music cultures in our midst.²

The proposed program will provide an environment for scholars to pursue a branch of knowledge which is relatively new and rapidly developing within the Canadian context. The curriculum is predicated on the belief that the musical practices of all social classes and groups are deserving of scholarly investigation. It will also further the integration of this knowledge at an abstract theoretical level, and relate the developments in the field to changes in social life.

The societal and academic need for the proposed program was summarized by York University as follows:

The study of musical traditions in many Canadian universities and in public education, more generally, continues to be rather narrowly focused on the study of the repertoire of European classical music, primarily the concert, theatre, and liturgical music of France, Italy, Austria, and Germany. This bias is socially destructive in its tendency to marginalize many students by failing to legitimize the technical, aesthetic, and spiritual power of the multiple musical traditions increasingly practised in Canada. The Eurocentric bias of most institutionalized music study aborts the powerful intellectual and artistic contribution which an enlightened conception of music could offer to social cohesion in contemporary Canada. The multicultural composition of our society demands a wider purview...While this view of music has normally been identified with "ethnomusicology", we have at York, integrated this perspective into the study of all music including the study of Western art music with a particular emphasis on the 20th century.³

York University indicates that a significant societal need for program graduates exists within the university sector. There is a growing demand within university music programs, particularly with respect to the offering of undergraduate level courses, for faculty requiring expertise in "World music", Canadian music, jazz studies, musical folklore of various regions, popular music studies, performance training in non-Western music and vernacular music of the West, which are all musical traditions normally overlooked by traditional musicology programs. This academic need for program graduates was verified by representatives of McMaster, Carleton and Ottawa Universities⁴ and mirrors a growing demand for ethnomusicologically trained musicologists in the United States.⁵

In addition to a need to hire faculty for positions in ethnomusicology/musicology, York University identifies an increasing demand for faculty whose training and research equip them to teach students with non-conservatory musical backgrounds in areas such as jazz, folk and popular music in musical subdisciplines such as composition, theory, performance and musicianship. Indicative of this need, York University notes that nearly 50% of their Master's

2. Ibid., pp. 6 - 7.

3. Ibid., pp. 1 - 2.

4. Ibid., p. 10.

5. Ibid., p. 12.

graduates with ethnomusicological expertise have been drawn into post-secondary teaching even before they have engaged in any Doctoral work.⁶

Area studies programs are also systematically seeking ethnomusicologists/musicologists to assist in researching and understanding vernacular culture within programs such as Middle Eastern Studies, Latin American Studies, African Studies, Native Studies, Women's Studies, Cultural Studies, Canadian Studies, and Atlantic Regional Studies.

A general need to replace retiring faculty members in Music over the next 15 to 20 years will also heighten the need for program graduates. Citing the Council of Ontario Universities 1989 document "Corridor Negotiation Bulletin", York University states that fully 83.5% of the current complement of Music faculty will have retired by 2009. Given that York University is the only university in English-speaking Canada in a position to offer the PhD in Ethnomusicology/Musicology for the foreseeable future, the proposed program would be providing new faculty for programs across Canada, not just in the Province of Ontario.⁷

York University notes that there is also a parallel societal need for program graduates outside the university milieu. Trained ethnomusicologists can be expected to find employment as museum, library and archives personnel; in the media and in positions of cultural advocacy; in secondary institutions; and in a variety of positions within the culture industries.

York University provided the Committee with numerous letters attesting to the societal need for the proposed program. Typical of the comments provided in these letters were the observations of professional musician, Mr. Alan Henderson:

I believe the programme will be beneficial to the arts in Canada as a whole. We have a large number of different musical traditions, many of which are transmitted from one generation of musicians to the next at least in part through the universities. Qualified people who understand these traditions are always of value. Further, I do not believe that studying in a foreign university will give one the same opportunities to delve into these traditions. If we do not have programmes at the highest level in Canada, we will end up with experts in everything except the musical traditions of Canada.

Finally, as a working composer/musician, I know that non-commercial music is increasingly becoming a world of grants and commissions not unlike the visual arts. More and more private corporations are becoming involved in sponsorship of the arts. It is not difficult to foresee a need for qualified persons to act as advisors and consultants in this area. I suspect that a PhD programme will not only provide teachers at academic institutions, but may well soon be of value to the corporate world as well.⁸

The Academic Advisory Committee reviewed letters from the existing Doctoral programs in Music in Ontario, which verified the unique nature of the proposed program.⁹ As indicated by Queen's University:

6. Ibid.

7. Ibid., p. 15.

8. Letter from Mr. Alan E. Henderson, to the Department of Music, York University, August 24, 1992.

9. York University, Op. cit., See Appendix D.

A Canadian Doctoral programme in ethnomusicology has been long awaited. For years, able graduates of Canadian undergraduate music programmes have made the southern migration to pursue graduate programs - including a number of particularly gifted people from Queen's. I am particularly pleased that it is York University that has had the boldness of vision to institute an ethno programme at the PhD level. York clearly has the human and scholarly resources to not only "sustain" such a programme, but to establish itself as an international centre for scholarly achievement in the field.¹⁰

Although documentation from the University of Toronto suggested that there may be some overlap at the course level, the Committee is satisfied by the additional information provided by York University that the foci, strengths, and emphases of the two programs are not the same.¹¹

York University expects to admit a small complement of Doctoral students each year, achieving a steady-state admission level of five students per year and a steady-state total enrolment of 15 students in the program within a five-year period. York University indicates that there are at least nine Canadian students currently enrolled in Ethnomusicology PhD programs in the United States who would have applied to such a program at York University had one been available. Once the program is advertised, student interest is expected to be significant. Expectations are based on a survey of York University students currently in the final year of the Master's program in Music as well as indications from other universities in Ontario that their own students would be likely to apply to such a program.

The Academic Advisory Committee was provided with a letter from the Ethnomusicology Graduate Students' Association which strongly endorsed the establishment of the proposed program.¹² The Academic Advisory Committee also reviewed numerous, thoughtful letters from individual students currently studying at York University at the Master's level, regarding the need for and their interest in the proposed program.

The Academic Advisory Committee is satisfied that there is convincing evidence of a societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The proposed Doctoral program in Ethnomusicology/Musicology at York University is consistent with the mission of York University, its general University academic plan, the Faculty of Graduate Studies academic plan and the Faculty of Fine Arts academic plan.¹³ It has been included in the institution's five-year graduate plan registered with the Ontario Council on University Affairs since 1990.

10. Letter from Mr. Alfred Fisher, Director, School of Music, Queen's University, to Professor David Leyton-Brown, Acting Dean, Faculty of Graduate Studies, York University, September 15, 1992.

11. York University, *Op. cit.*, pp. 17 - 21 and Appendix D: Letter from Mr. John D. Baird, Associate Dean, Humanities, to Mr. D. Leyton-Brown, Acting Dean, Faculty of Graduate Studies, York University, October 28, 1992; letter from Ms. Beverly Diamond, Acting Associate Dean, Fine Arts, York University, to Mr. D. Leyton-Brown, Acting Dean, Faculty of Graduate Studies, York University, October 29, 1992; and letter from Ms. Karen Pegley, to Professor Beverly Diamond, Director, Graduate Programme in Music, York University, October 27, 1992.

12. Letter from Mr. Charles Fairchild, Vice-President, Ethnomusicology Graduate Students' Association, to York University, June 26, 1992.

13. York University, *Op. cit.* See excerpts from these plans, pp. 25 - 26.

The Academic Advisory Committee notes that corollary program and research strengths at York University include the Institute for Social Research, the Robarts Centre for Canadian Studies, the Centre for Research in Latin America and the Caribbean, the Ontario Folklife Centre and post-graduate strengths in cognate Fine Arts disciplines such as Dance Ethnology, Film and Video.

The proposed program is supported by a strong Master's program in the same field, the publication at York University of an annual newsletter entitled Musicology and Ethnomusicology at York, and the extensive participation of York University faculty in the Steering Committee for Ethnomusicology in Canada and the resultant new society, The Canadian Society for Musical Traditions, founded in 1991.

York University indicates that library resources in support of the program are excellent and have been greatly expanded, in the recent past, with the assistance of two substantial SSHRC Specialized Research Collections grants totalling \$60,000. The program also has its own Ethnomusicology archive and seminar/reading room. Laboratory facilities are extensive and include audio-video workstations, sound analysis equipment, and computer laboratories with IBM, MacIntosh/MIDI and Atari/MIDI system capabilities.

The Academic Advisory Committee is satisfied that the proposed PhD program in Ethnomusicology/Musicology is consistent with the aims, objectives and existing strengths of York University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Doctor of Philosophy program in Ethnomusicology/Musicology at York University be recommended by Council for funding eligibility.

Academic Advisory Committee
November 13, 1992

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**French Studies (MA)
York University**

**New Graduate Program
Considered for Funding Eligibility**

On October 29, 1992, York University requested that Council consider its new Master of Arts (MA) program in French Studies for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program passed a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on October 16, 1992.

2. Societal Need and Student Demand

The proposed MA program in French Studies would be offered jointly by York University and Glendon College, in order "to provide Franco-Ontarians and other native or fluent French language speakers who reside in Southern Ontario with a masters level education in French Studies in a bilingual institution".¹

York University argues that the societal need for this program results from a need in

Ontario and Canada...to enhance services to the Francophone community generally and that of Southern Ontario especially, in order to promote French language and culture. This is of particular importance in bilingual Canada for those employed in business, government and international affairs.²

York University also argues that post-secondary education needs to become more accessible to Francophones, and be more accountable to the communities that they serve, and that "[t]his programme responds to that responsibility".³ The establishment of a graduate program in French

1. York University, Request for Eligibility for Formula Funding M.A. Programme in French Studies, October 29, 1992, p. 3.

2. Ibid., p. 4.

3. Ibid., p. 5.

Studies at York University would also "make a vital contribution to the fulfilment of [its bilingual] mandate."⁴

The Academic Advisory Committee noted that the objectives and foci of the proposed program were quite diverse. York University notes both that the

M.A. Programme in French Studies would help to satisfy the needs of the Franco-Ontarian population of southern Ontario by offering courses related to its specific culture...

yet also

...in recognition of the fact that a large population of French-speaking Ontarians come from different ethnic origins, which is especially true in the metropolitan area, our programme includes courses in francophone literatures such as those of Haiti, Martinique and North-Africa.⁵

Further, York University indicated that:

A major need to be filled by graduates of this programme is for teachers to have advanced education in the area of French Studies...[there is a] high demand for teachers of French, most particularly for the rapidly growing French immersion programs in the English-language school boards in urban areas...A graduate programme which is designed to meet the needs of these teachers would provide an incentive for teachers to the Province and local Boards.⁶

It was also noted that:

Individuals with advanced education in the area of French Studies, who are either employed in business or government or who are teaching in the school system, will improve Ontario's and Canada's ability to compete in the global market place.⁷

York University indicates that the proposed program will be offered primarily on a part-time basis and that courses will be offered in the late afternoon or evening to accommodate the schedules of teachers.⁸

In conclusion, York University states:

The duration of the need for graduates of a programme such as that offered by York is medium to long term...there is a shortage of teachers of French in the school system and this will certainly continue for the medium term as the demands for French immersion programmes continue. The global economy presents long term

4. Ibid., p. 6.

5. Ibid.

6. Ibid., p. 8.

7. Ibid., p. 10.

8. Ibid.

challenges and possibilities for Ontario and Canada. The part-time programme will provide advanced education for individuals seeking to expand their knowledge of literatures, cultures and linguistics in countries which are trading partners or whose development is important to Canada. Finally, this programme is one very small but important step in providing additional advanced level opportunities to the Francophone community of Ontario which will be of long term benefit.⁹

The Academic Advisory Committee notes that there are already eight similar Master's degree programs in place within the Ontario university system (French Studies at Carleton, McMaster, Queen's, Waterloo, Western and Windsor Universities; Lettres Françaises at the University of Ottawa (in co-operation with Laurentian University); and French Language and Literature at the University of Toronto) and that, according to OCGS Graduate Macroindicator Data 1991-92, total system enrolments in such programs have been declining on both a full and part-time basis since 1985-86.¹⁰

A review of the proposed program by representatives of the existing programs revealed that the proposed program would significantly overlap with existing programs. For example, Carleton University indicated:

...literature and linguistics are the traditional fields for M.A. programs in more than one Department of French across Ontario. Amongst others, it is the case for [the] Carleton M.A. in French whose Program consists of courses covering the fields of French linguistics, linguistic analysis of literary discourse, literary history and literary criticism. In this perspective, the proposed program does overlap existing programs in Ontario...the Degree requirements are lower than those of sister institutions...¹¹

Queen's University noted:

The proposed program is similar to ours in that it covers individual authors, covers major periods of literature, and includes Canadian French content. The inclusion of a course on women in the renaissance period and one on an author from Martinique are seen by the Department to represent a valuable broadening of perspective and one that cannot be covered in the program here.

The program as described appears to be less theoretical than those offered at Queen's which is advantageous from the point of view of not overlapping with existing programs. It may not however, be a benefit to the program itself. The linguistics content is very different from that offered here, except as regards the course on North American French.

9. *Ibid.*, p. 11.

10. Ontario Council on Graduate Studies, *Graduate Macroindicator Data 1991-92*; Ontario, September 1992, pp. 54-55. This data shows enrolments in MA French Studies programs declining from 72 full-time enrolments in 1985-86 to 63 full-time enrolments in 1991-92; from 53 part-time enrolments in 1985-86 to 43 part-time enrolments in 1991-92.

11. Letter from Carleton University, Dr. J. ApSimon, Dean, Faculty of Graduate Studies, to Dr. D. Leyton-Brown, Acting Dean, Faculty of Graduate Studies, York University, October 19, 1992, Attached Memorandum of October 13, 1992.

In terms of the overall impact of this program, the York University M.A. program, to the extent that it attracts full-time students, will be "fishing in the same pool" of candidates as our own, which could...cope with additional students.¹²

Similarly, the University of Waterloo indicated:

...the proposed programme differs from our own in its more substantial emphasis on linguistics...The literature component, however, is very similar to our own M.A. programme, and in this part there would be an overlap between the two programmes. (The overlap could be avoided by a specialisation in certain areas of literature, such as that of Franco-Ontaria or of la Francophonie.) The structure of the curriculum, in terms of the number of courses, and thesis and mémoire routes, is very similar to our own...it is likely that there would be some detrimental effect on our own enrolment. We too attempt to offer a number of courses designed to attract part-time students at the M.A. level. Whether or not students with jobs in this area would travel to York to study part-time is debatable; we have in the past attracted part-time students who have travelled similar distances to come to Waterloo.¹³

Concerns were also expressed by The University of Western Ontario:

The proposed program in French at York does not appear to be substantially different from existing programs in the province. It seems that students will be able to opt for either a concentration in literature or linguistics. The literature option is similar to that of most extant programs, including Western's. The linguistics option offers some distinct features and this area is a recognized strength within the department at York. There is a shortage of graduate programs in linguistics in southwestern Ontario, the only existing program being that at Toronto. Thus, a new M.A. program in French linguistics would be a welcome complement to the existing offerings in the Province; the proposed broader program in French Studies raises some concerns.

The argument that the new program will bring together the fields of literature and linguistics by way of the "Méthodologie de la recherche" course is not strongly supported. The course does not appear to differ markedly from standard research methods courses and seems applicable equally to students in either field. The "flexibility in and between the two major components" that is claimed also was not readily apparent from the description provided for our review. Students are required to take only three full courses and one of these is the methodology course. This situation does not appear to leave room for any significant combination of the two options. Thus, some of the apparent unique characteristics of this proposed program need further clarification.

12. Letter from Dr. Wm. McLatchie, Vice-Principal Research, Dean of Graduate Studies, Queen's University to Dr. D. Leyton-Brown, Acting Dean, Faculty of Graduate Studies, York University, October 21, 1992.

13. Letter from Dr. P. Rowe, Dean of Graduate Studies, University of Waterloo, to Dr. D. Leyton-Brown, Acting Dean, York University, October 7, 1992, attached Memorandum, October 6, 1992.

There is little doubt that the introduction of another general M.A. in French, such as is proposed at York, will have a negative impact on the enrolment in existing programs. It might be argued that there already are too many M.A. programs in French in Ontario with the result that some programs...find themselves with very few students in any given year...there are legitimate fears that the available clientele is being stretched over too many programs.¹⁴

Duplication of existing course offerings was also indicated by the University of Ottawa, Département des lettres françaises and Department of Linguistics. Of particular concern to the Academic Advisory Committee were the comments provided by the University of Toronto which indicated significant concerns regarding program similarity and the potential impact of the proposed program on existing enrolments:

Although certain aspects of the proposed programme can be seen to complement our own programme, there are unfortunately several areas of overlap. We are somewhat surprised to find listed a course on Emile Zola with specific reference to the Zola project in Robarts Library. As you may know, this project has been a long-standing endeavour of the Department of French at the University of Toronto. In addition, the proposed courses on literary criticism, Andre Gide and contemporary Quebec literature duplicate existing courses listed in the calendar of the School of Graduate Studies. There are also duplications in the area of linguistics, specifically the courses on syntax and phonology. In our opinion, these duplications represent substantial areas of overlap with our programme.

As to the impact on enrolments, a problem may well arise in the area of linguistics. Few students enrol in the linguistic component of our programme (4 to 6 students a year) even though other universities in Ontario do not offer courses in that field. A reduction in this enrolment may endanger the very existence of our Masters programme in linguistics...Unlike your existing M.A. programme in translation which indeed complements our programme, the one proposed has too many areas of overlap to be viewed as complementary.¹⁵

The high degree of similarity to existing programs and the consistent concern noted regarding the negative impact of the proposed new program on the enrolment levels of existing programs caused the Academic Advisory Committee to review the distinguishing aspects of the proposed program very carefully in order to determine whether or not duplication and possibly detrimental effects on the enrolment levels of existing programs were justifiable in this case.

In its submission, York University argues that the program "has been designed to complement offerings at other universities". The Committee notes that there are some courses which are unique to York University's proposed program when compared to specific other programs. However, the Academic Advisory Committee is not convinced that the program is significantly different from existing programs already offered elsewhere. In the opinion of the Committee, York University's contention that the program focuses on Franco-Ontarian language and literature is not borne out by a review of the curriculum. The Committee notes that the

14. Letter from Dr. G. Moran, Dean of Graduate Studies, University of Western Ontario, to Dr. D. Leyton-Brown, Acting Dean, York University, September 30, 1992.

15. Letter from Dr. P. Gooch, Acting Dean, School of Graduate Studies, University of Toronto, to Dr. D. Leyton-Brown, Acting Dean, York University, October 22, 1992.

program offers one course in "Littérature franco-ontarienne: une prise de parole", and one course entitled "La phonologie fonctionnelle et structurale: théorie et mise en application" which includes the application of phonology to Franco-Canadian French (including "québécois, ontarien, acadien"). Other literature and linguistics courses focusing on North American French focus on the French written and spoken in Québec.¹⁶

Although the Academic Advisory Committee requested further clarification from York University regarding the degree to which the proposed program emphasizes Franco-Ontarian language and literature, it was evident upon receipt of the University's response that the focus of the program is quite general, highlighting a wide variety of traditions in literature and linguistics which are covered in greater detail by other programs already in place.

The Academic Advisory Committee also notes that over 90% of the letters in support of the program from potential employers/students came from school boards and/or school-related or teacher associations. The Committee, however, does not believe that the substance of the proposed program would meet the need expressed in these letters. The remainder of support expressed for the program came from community associations who would not be in a position to hire graduates or send employees to the proposed program. There was no evidence of societal need for program graduates from employers in other areas of the public sector, business or international affairs as indicated by York University in their submission. In fact, the Committee believes that York University's MBA (International) which has a French-language component, already effectively meets the type of societal need which business and organizations involved in international affairs would experience.

In view of the number of French Studies/Lettres Françaises programs already in place, the existing capacity in these programs, the significant strengths possessed by these programs, the proximity of the program at the University of Toronto, the distance education capabilities at the University of Ottawa/Laurentian, and the narrow expression of evidence of societal need for program graduates/student demand, the Academic Advisory Committee is not convinced of the need for an additional program in French Studies in Ontario at this time. The Committee is persuaded that a student demand for part-time studies does exist in the Greater Toronto Area. However, the Academic Advisory Committee would prefer to see an exploration of how this demand could be met by existing programs.

The Academic Advisory Committee is not satisfied that there is convincing evidence of societal need and student demand for this program.

3. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Arts program in French Studies at York University not be recommended by Council for funding eligibility.

Academic Advisory Committee
March 12, 1992

16. York University, Op. cit., Appendix A, Draft Brochure for Maîtrise en Etudes Françaises.

COMITÉ CONSULTATIF DES AFFAIRES FRANCOPHONES

**Maîtrise en études françaises (M.A.)
Université York**

**Nouveau programme de langue française de deuxième cycle
présenté pour admissibilité au financement**

Le 17 novembre 1992, le Conseil ontarien des affaires universitaires (COAU) a demandé au Comité consultatif des affaires francophones (CCAF) de se prononcer sur la proposition de programme de maîtrise en études françaises élaboré par l'Université York. Par la suite, l'Université York a fourni des renseignements additionnels requis par le COAU. Le CCAF a étudié ensemble la proposition originale et ces renseignements additionnels. Tel que le veut son mandat, le CCAF s'est en particulier demandé si le programme proposé répond aux besoins de la population franco-ontarienne. Sur recommandation de son groupe de travail sur les programmes d'études, le CCAF a entériné la position énoncée ci-dessous.¹

1. Adéquation du programme

a) Spécificité du programme proposé par rapport aux autres programmes déjà existants dans l'institution et ailleurs en Ontario.

À la lecture du choix de cours qui seront offerts aux étudiants et étudiantes, le programme proposé par l'Université York ne semble pas significativement différent des autres programmes semblables offerts par d'autres institutions en Ontario. Malgré les affirmations à l'effet que la culture franco-ontarienne sera une préoccupation du programme, le choix de cours semble indiquer que cet aspect sera relativement marginal. Seuls un cours de littérature et un cours de linguistique seront offerts dans une perspective franco-ontarienne. Les autres cours proposés ne semblent pas se distinguer de façon importante des cours offerts dans d'autres institutions de la province. En fait, il semblerait que la plupart des cours que l'Université se propose d'offrir sont déjà offerts dans la région torontoise même. Le programme se distingue surtout par le fait qu'il serait offert à temps partiel.

L'Université d'Ottawa affirme d'ailleurs que 'Because of the breadth of our programs, it is inevitable that aspects of your proposed course offerings would be covered in our curriculum'.² De même, l'University of Toronto explique que 'Although certain aspects of the proposed programme can be seen to complement our own programme, there are unfortunately several areas of overlap. (...) In our opinion, these duplications represent substantial areas of

1. Il importe de noter que les critères utilisés dans ce document représentent ceux qui seront utilisés par le Comité pour ses avis suivants. Le Comité a élaboré une liste de critères permanents pour l'évaluation de demandes futures. Cette grille d'évaluation a été acceptée par le Ministre et apparaîtra dorénavant dans le manuel de procédures du COAU.

2. Lettre de Nicole Bégin-Heick, doyenne des études supérieures et de la recherche à David Leyton-Brown, doyen par intérim, Université York, 9 octobre 1992.

overlap with our programme. (...) [The proposed programme] has too many areas of overlap to be viewed as complementary”.³

De plus, une certaine confusion existe quant à l'appellation du programme. Traditionnellement, les programmes d'études de la littérature et de la langue françaises se nomment 'études françaises' ou 'french studies' selon qu'ils s'adressent à une clientèle d'abord francophone ou anglophone, respectivement. Il est accepté que l'on n'enseigne pas le français de la même façon à quelqu'un qui a le français comme langue maternelle et à quelqu'un pour qui il s'agit d'une langue seconde. Or, le programme proposé ne distingue pas entre ces deux approches. Les textes rédigés en français à l'appui du projet parlent d'un programme en études française alors que les lettres en anglais parlent d'un programme en 'french studies'. Le Comité croit qu'une clarification de ce point aurait été nécessaire.

b) Efforts pour coordonner le programme proposé avec d'autres départements, facultés et institutions (synergie)

Les modalités de la collaboration entre le collège universitaire Glendon et le département d'études françaises de l'Université York (campus principal) sont peu claires. Il est difficile à la lecture du projet de comprendre comment s'articulera cette collaboration.

c) L'environnement humain, physique, social et culturel

L'Université York a l'avantage de compter sur un campus bilingue au Collège Glendon. Ce campus constitue un milieu ambiant qui s'avèrerait certes très favorable pour la clientèle d'un tel programme. Il aurait été souhaitable que l'institution tire plus résolument profit de cet avantage en situant le programme entièrement sur le campus de Glendon.

d) L'utilisation des forces francophones actuelles de l'institution

L'Université compte utiliser dans une proportion d'environ 40% des professeurs du campus principal de York et 60% de professeurs situés au collège Glendon.

e) Collaboration, partenariat et utilisation des ressources déjà disponibles en Ontario pour desservir la population francoontarienne

Ce programme semble bénéficier d'un certain appui de la communauté francophone de Toronto. Cependant, cet appui ne semble pas se traduire en offres de collaboration concrètes.

f) Le mode de gestion du programme

Le programme sera géré par la Faculté des études supérieures de l'Université York. Un directeur ou une directrice du programme sera nommé mais aucune garantie à long terme n'est donnée quant à la localisation de ce directeur ou de cette directrice. Le Comité aurait souhaité un engagement plus résolu de l'institution à ancrer la direction du programme à Glendon, pour ainsi assurer la stabilité du programme sur le campus bilingue.

2. Degré auquel le programme répond aux besoins de la société franco-ontarienne

a) Formation de personnel qualifié requis par la communauté franco-ontarienne

Le Comité n'est pas totalement satisfait de la démonstration du besoin du programme du point de vue des employeurs potentiels. Il est difficile de comprendre comment ces besoins ne pourraient être comblés par les programmes existants. Il faut reconnaître cependant que pour certains employeurs, la possibilité de permettre à leurs employés déjà en place de parfaire leur

3. Lettre de Paul W. Gooch, doyen par intérim, School of Graduate Studies, University of Toronto, à David Leyton-Brown, doyen par intérim, Faculté des études supérieures, Université York, 22 octobre 1992.

formation en étudiant à temps partiel tout en conservant leur emploi, pourrait être un atout important.

b) Préparation aux études aux cycles supérieurs (le cas échéant)

On peut supposer que la préparation aux études de troisième cycle fera partie des préoccupations normales du programme. Le Comité aurait aimé un engagement plus ferme envers cet aspect de la formation des étudiants et étudiantes.

c) Développement de la recherche de pointe et formation de chercheurs et de chercheuses

La même remarque peut être faite qu'au point précédent.

d) Ouverture sur d'autres disciplines (le cas échéant)

Le programme est essentiellement bi-disciplinaire (littérature et linguistique), ce qui semble approprié.

e) Contribution au dynamisme et au développement de la vie française en Ontario

Contrairement à ce que les textes de présentation laissent supposer, le choix de cours et la composition du programme ne semblent pas démontrer que le programme se distingue des autres programmes offerts par les autres institutions. De ce fait, il n'est pas démontré que le programme contribuerait au développement de la vie française en Ontario.

3. Demande étudiante franco-ontarienne pour la création du programme

a) Demande absolue - prévision d'effectifs parmi les francophones de l'Ontario

La demande potentielle semble sommairement analysée : les demandes d'information reçues et les appuis nous laissent croire que la clientèle pourrait être au rendez-vous. Une analyse plus détaillée de la clientèle potentielle serait cependant indiquée, d'autant plus que les indicateurs statistiques démontrent un déclin des inscriptions dans ce champ en Ontario au cours des dernières années.

b) Pertinence du mode de prestation du programme pour rejoindre la clientèle-cible

L'offre du programme à temps partiel est clairement un atout du projet. La clientèle visée, majoritairement déjà sur le marché du travail, pourrait ainsi profiter d'une option qui n'est pas offerte dans le cadre des autres programmes semblables existants dans la région de Toronto.

4. État des démarches initiales d'implantation du programme (le cas échéant)

Ce programme n'a pas encore démarré.

5. Caractère innovateur du programme

L'offre d'un tel programme à temps partiel apparaît comme le seul point véritablement innovateur du programme. Il est difficile pour le Comité, en période de contraintes budgétaires d'avaliser la création d'un programme dans une discipline qui ne figure pas comme prioritaire dans le cadre pluriannuel de développement de l'enseignement universitaire en français, si ce programme ne comporte pas davantage d'éléments originaux et innovateurs justifiant sa mise sur pied. Le Comité croit que le programme tel que présenté ne se distingue pas suffisamment des autres programmes existants sous l'angle du contenu des cours ou du cadre institutionnel pour recommander son approbation.

6. Recommandation

Le CCAF recommande au Conseil ontarien des affaires universitaires (COAU) que

le nouveau programme de maîtrise en études françaises proposé par l'Université York ne soit pas recommandé par le Conseil pour l'admissibilité au financement.

Le Comité consultatif des affaires francophones

Le 11 mars 1993

93-II Undergraduate Quasi-Professional, Special and Professional Program Funding 1993-94

1.0 Introduction

In this Memorandum, the Ontario Council on University Affairs recommends on the funding eligibility of 20 undergraduate programs in accordance with the procedures for full review set out in Advisory Memorandum 82-VII, "Undergraduate Program Approvals" and Advisory Memorandum 92-V, "Program Approvals" and the procedures for cursory review set out in Advisory Memorandum 89-I, "New Undergraduate Quasi-Professional, Special and Professional Program Funding".

The following programs were considered by the Academic Advisory Committee for funding eligibility during the 1992-93 cycle of undergraduate program approvals:

Brock University

Linguistics (BA), Cursory Review - See Appendix A

Carleton University

Environmental Studies (BA and Hons. BA) - See Appendix B

German Studies (Hons. BA) - See Appendix C

Lakehead University

Visual Arts (BA), Cursory Review - See Appendix D

McMaster University

Ceramic Engineering and Society (BEng[Soc]), Cursory Review - See Appendix E

Computer Engineering and Society (BEng[Soc]), Cursory Review - See Appendix F

Electrical Engineering and Society (BEng[Soc]), Cursory Review - See Appendix G

German Area Studies (Hons. BA), Cursory Review - See Appendix H

Linguistics (Hons. BA), Cursory Review - See Appendix I

Literary Studies (Combined Honours BA), Cursory Review - See Appendix J

Materials Engineering and Society (BEng[Soc]), Cursory Review - See Appendix K

Mechanical Engineering and Society (BEng[Soc]), Cursory Review - See Appendix L

Metallurgical Engineering and Society (BEng[Soc]), Cursory Review - See Appendix M

Modern Languages (Hons. BA), Cursory Review - See Appendix N

Russian and East European Area Studies (Hons. BA), Cursory Review - See Appendix O

Queen's University

Environmental Science (Earth Systems Science) (Hons. BSc) - See Appendix P

Environmental Science (Environmental Biology) (Hons. BSc) - See Appendix Q

Environmental Science (Environmental Chemistry) (Hons. BSc) - See Appendix R

Environmental Science (Environmental Geology) (Hons. BSc) - See Appendix S

University of Waterloo

Environmental Science (Hons. BSc) - See Appendix T

2.0 Recommendations

Council has considered the advice of the Academic Advisory Committee and is convinced that all 20 proposed undergraduate programs should be recommended to the Minister for funding eligibility, even in a time of economic restraint.

Council reviewed the seven undergraduate programs undergoing full review, recommended by the Academic Advisory Committee, against the requirements of the tenth criterion: "[w]hether the program should be funded even in a time of economic restraint".¹ In doing so, Council assessed the undergraduate programs proposed for funding eligibility from a system-wide perspective and in light of the funding climate. Specifically, institutions were asked to indicate the impact of the proposed program on their corridor plan and how they intended to finance and staff the proposed program. Additional costs were to be identified as well as the manner in which these costs would be covered. Finally, the impact on other programs within the institution was to be noted. Council has satisfied itself that these seven programs should be recommended as eligible for funding, even in times of economic restraint. Council expresses concern, however, that the approval process for all new academic programs at some institutions does not include Board of Governors' approval.

Council reviewed the remaining 13 programs undergoing cursory review by the Academic Advisory Committee and is satisfied that these programs should also be recommended for funding eligibility.

Council notes the significant number of new programs in environmental fields which have recently developed in the Ontario university system. Within the last three years, 19 new programs in environmental fields have been reviewed by Council for funding eligibility. In this cycle, one Environmental Studies and five Environmental Science programs have been submitted to Council for review. Council notes that Environmental Science/Studies is a young, broad and complex interdisciplinary area which is evolving rapidly and, as yet, has unclear boundaries.

The Academic Advisory Committee has brought to Council's attention some additional issues related to the nature of program developments in this interdisciplinary area. For example, given the wide breadth of the discipline areas involved, what is an appropriate "environmental" curriculum and what are the unifying or defining aspects of "environmental" curricula? Related issues arise from the variety of environmental program names and degrees applied to such programs. Some program names and degrees reviewed include: Bachelor of Science in Environmental Science, Honours Bachelor of Science in Environmental Science (Environmental Chemistry), Honours Bachelor of Arts in Environmental Studies and Bachelor of Engineering in Environmental Engineering. The distinctive differences and similarities among these programs remain unclear. Given the significant student demand for environmental program places in environment related programs, "truth in advertising" becomes an important concern. Council concludes that, with the proliferation of such programs and the breadth of curricular influence, program developments in this field warrant further study and review.

In this cycle, Council has also seen examples of academic restructuring occurring within Ontario universities. A number of undergraduate programs proposed by institutions in this cycle are primarily the result of the repackaging of existing courses and will be offered within existing resources. Council notes that these program developments not only represent progressions in the evolution of academic disciplines and institutions, they also in many instances, create economies in program delivery facilitating the more effective and efficient use of resources.

Accordingly, Council *recommends to the Minister:*

OCUA 93-22

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ARTS PROGRAM IN LINGUISTICS AT BROCK UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

1. Ontario Council on University Affairs, OCUA Program Procedures Manual, March 2, 1993, p. 1.2.4.

THAT, enrolment in the BA program in Linguistics at Brock University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 1, with a weight of 1.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-23

ELIGIBILITY OF ENROLMENT IN THE GENERAL AND HONOURS BACHELOR OF ARTS PROGRAMS IN ENVIRONMENTAL STUDIES AT CARLETON UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the General and Honours BA programs in Environmental Studies at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the Honours program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-24

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN GERMAN STUDIES AT CARLETON UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BA program in German Studies at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-25

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ARTS PROGRAM IN VISUAL ARTS AT LAKEHEAD UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BA program in Visual Arts at Lakehead University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-26

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ENGINEERING AND SOCIETY PROGRAM IN THE CERAMIC ENGINEERING AND SOCIETY AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BEng(Soc) program in Ceramic Engineering and Society at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to receive the program weights of 1.5 for years 2 and 4, and a weight of 2.0 for years 1, 3 and 5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-27

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ENGINEERING AND SOCIETY PROGRAM IN COMPUTER ENGINEERING AND SOCIETY AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BEng(Soc) program in Computer Engineering and Society at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to receive the program weights of 1.5 for years

2 and 4, and a weight of 2.0 for years 1, 3 and 5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-28

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ENGINEERING AND SOCIETY PROGRAM IN ELECTRICAL ENGINEERING AND SOCIETY AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BEng(Soc) program in Electrical Engineering and Society at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to receive the program weights of 1.5 for years 2 and 4, and a weight of 2.0 for years 1, 3 and 5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-29

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN GERMAN AREA STUDIES AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BA program in German Area Studies at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-30

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN LINGUISTICS AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BA program in Linguistics at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-31

ELIGIBILITY OF ENROLMENT IN THE COMBINED HONOURS BACHELOR OF ARTS PROGRAM IN LITERARY STUDIES AND ANOTHER SUBJECT AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Combined Honours BA program in Literary Studies and Another Subject at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-32

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ENGINEERING AND SOCIETY PROGRAM IN MATERIALS ENGINEERING AND SOCIETY AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BEng(Soc) program in Materials Engineering and Society at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to receive the program weights of 1.5 for years

2 and 4, and a weight of 2.0 for years 1, 3 and 5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-33

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ENGINEERING AND SOCIETY PROGRAM IN MECHANICAL ENGINEERING AND SOCIETY AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BEng(Soc) program in Mechanical Engineering and Society at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to receive the program weights of 1.5 for years 2 and 4, and a weight of 2.0 for years 1, 3 and 5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-34

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ENGINEERING AND SOCIETY PROGRAM IN METALLURGICAL ENGINEERING AND SOCIETY AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the BEng(Soc) program in Metallurgical Engineering and Society at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the program to receive the program weights of 1.5 for years 2 and 4, and a weight of 2.0 for years 1, 3 and 5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-35

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN MODERN LANGUAGES AT McMASTER UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BA program in Modern Languages at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 2 with a weight of 1.5 as outlined.

OCUA 93-36

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN RUSSIAN AND EAST EUROPEAN AREA STUDIES AT McMASTER UNIVERSITY FOR 1993-94

THAT, enrolment in the Honours BA program in Russian and East European Studies at McMaster University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-37

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL SCIENCE (EARTH SYSTEMS SCIENCE) AT QUEEN'S UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BSc program in Environmental Science (Earth Systems Science) at Queen's University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category

3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-38

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL SCIENCE (ENVIRONMENTAL BIOLOGY) AT QUEEN'S UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BSc program in Environmental Science (Environmental Biology) at Queen's University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-39

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL SCIENCE (ENVIRONMENTAL CHEMISTRY) AT QUEEN'S UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BSc program in Environmental Science (Environmental Chemistry) at Queen's University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-40

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL SCIENCE (ENVIRONMENTAL GEOLOGY) AT QUEEN'S UNIVERSITY FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BSc program in Environmental Science (Environmental Geology) at Queen's University be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-41

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL SCIENCE AT THE UNIVERSITY OF WATERLOO FOR FUNDING PURPOSES FOR 1993-94

THAT, enrolment in the Honours BSc program in Environmental Science at the University of Waterloo be counted as eligible BIUs, for funding purposes, beginning in 1993-94 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

Joy Cohnstaedt,
Chair

April 16, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Linguistics (BA)
Brock University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On October 27, 1992, Brock University submitted its new undergraduate special Bachelor of Arts program in Linguistics for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Bachelor of Arts (BA) three-year program in Linguistics will replace the existing BA program in Teaching English as a Second Language. The Bachelor of Education (BEd) program in Teaching English as a Second Language will continue to be offered at Brock University. Two Linguistics courses have been added in order to offer this program. The Committee notes that less than 25% of the courses in the proposed program are new.

The University indicates that since 1983, curriculum changes have occurred in the BA program in Teaching English as a Second Language. Specifically, courses have been reorganized and their focus changed in order to take into consideration the needs of the students as well as advances in particular areas of study. Brock University states that the change in program name "marks the culmination of this process of curriculum development".¹ The University also argues that the focus of the program is now Linguistics and that the proposed name change will more accurately reflect the program content.

The University indicates that there is some confusion among program administrators and employers regarding the current BA program in Teaching English as a Second Language, given the existence of the BEd program in Teaching English as a Second Language as well. The proposed new program name is expected to eliminate this confusion.

AAC notes that graduates of the proposed program, wishing to pursue careers as teachers, can complete an additional year in the BEd program in Teaching English as a Second Language offered at Brock University.

Student demand for the proposed program is expected to be strong. Between 1985 and 1992, the number of students who have enrolled in the BA program in Teaching English as a Second Language (Linguistics major) has grown significantly, from 11 students in 1985 to approximately 37 students in 1992.

The proposed new program name was approved by Brock University Senate on December 18, 1991.

1. Brock University, Submission to the Ontario Council on University Affairs Concerning Funding Approval for a Quasi-Professional Undergraduate Degree Program in Linguistics, October 27, 1992, p. 2.

Comments received from COU indicate that general support exists for the proposed change in program name within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses and that Brock University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Arts program in Linguistics at Brock University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Studies (General and Honours BA)
Carleton University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On October 31, 1992, Carleton University submitted the new undergraduate quasi-professional General and Honours Bachelor of Arts programs in Environmental Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the programs, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed BA and Honours BA interdisciplinary programs in Environmental Studies introduce students to the range of social, cultural, economic, political, legal and ethical factors affecting human interaction with the environment, while simultaneously ensuring that they acquire basic literacy in the physical and biological sciences.¹ The proposed curriculum is organized around a core of required courses drawn from different disciplines and a set of optional courses organized into various themes. The themes, including Environment, Economy and Development; Environment, Policy and Law; Environmental Attitudes and Ethics; and Human Population and the Built Environment, are intended to provide students with an educational focus. Students enrolled in the Honours BA program take a one-term practicum course in their final year.

2. Academic Quality

The programs were approved by the Senate of Carleton University on January 31, 1992.

3. Financial Viability

The proposed programs were reported to the Board of Governors on February 17, 1992. Board of Governors' approval was not required. The Committee notes that the resources necessary to support the program on a long-term basis are already in place.

4. Projected Enrolment

Carleton University indicates that it projects a year-one intake level of 20 students for the programs. The programs are expected to reach a steady-state total enrolment level of 30 BA and 40-50 Honours BA students in 1995-96.

1. Carleton University, 1992-93 Calendar, p. 176.

5. Co-operation with Other Post-Secondary Institutions

No co-operative or joint arrangements have been planned for the proposed programs. However, Carleton University indicates that future sharing arrangements have been considered with Algonquin College, with which it currently has other co-operative arrangements.

The University also indicates that co-operation with other post-secondary institutions may be necessary in the future if student demand for the proposed programs increases significantly.

6. Societal Need and Student Demand

Carleton University argues that problems related to environmental issues are the key to understanding and nurturing the global community. The University further argues that the nature of environmental problems necessitates the application of methodologies from many different disciplines, as well as the synthesis of knowledge from traditionally independent standing disciplines. The University indicates that, as interdisciplinary programs addressing environmental concerns, the proposed Environmental Studies programs not only meet a societal need but also provide education in a subject area which is seen to be "a necessary key to the survival and development of all societies."²

Letters received from potential employers indicate that there is substantial support for the proposed programs. Letters of support from representatives of the following organizations were received: Environment Canada, National Parks Directorate; City of Ottawa, Department of Planning and Development; AECL Research; and the Atomic Energy Control Board of Canada.

Comments made by potential employers indicate that support exists particularly for the interdisciplinary nature of the proposed programs. As described by one potential employer:

...you state that the program ensures that the student "acquires a basic literacy in the physical and biological sciences". I think it is important that people dealing with the social side of environmental issues have a good grasp of the technical side and vice versa. I, therefore, applaud your efforts to combine both aspects in one course.³

As well, the strong societal need for environmental studies programs is recognized by potential employers in the field. For example, a Senior Environmental Biologist with Environment Canada states:

...on the matter of Environmental Studies at Carleton, I have no doubt that you will have a large number of students interested in pursuing this area of study. In my view, the field of environmental studies is one of the most important that universities can offer in the 1990's.⁴

The Committee notes that a number of the letters of support provided by Carleton University are from government departments or agencies in the Ottawa area. AAC expects that graduates of the proposed Environmental Studies programs will be employed in public as well as private firms across Canada, and encourages Carleton University to explore such possibilities.

2. Carleton University, Submission to OCUA for Funding Eligibility: BA and BA Honours Programs in Environmental Studies, October 30, 1992.

3. Letter from Mr. Colin J. Allen, Vice-President, Environmental Sciences and Waste Management, AECL Research, Whiteshell Laboratories, Atomic Energy of Canada Limited, to Dr. J. P. Johnson, Co-ordinator Environmental Studies, Carleton University, November 9, 1992.

4. Letter from Mr. Brian Weller, Senior Environmental Biologist, National Parks Directorate, Environment Canada, to Dr. J.P. Johnson, Co-ordinator Environmental Studies, Carleton University, November 3, 1992.

Student demand is expected to be strong. Recent admission statistics indicate that the number of Ontario secondary school students applying to Environmental Studies programs at Ontario universities increased by 31.7% in 1991-92 over the previous year. AAC notes that this was the largest increase in secondary school student demand in a single program category for that year. Similarly, confirmed acceptances of offers of admission to these programs increased by 41% over the previous year.

The University anticipates that an element of student demand will also originate from Quebec students who wish to study Environmental Studies offered in the English language.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed programs.

7. Uniqueness

The University of Waterloo and York University currently offer Bachelor of Environmental Studies programs. Carleton University argues that:

The academic program at Carleton is broadly similar to that of York, but leads to the BA and BA Honours degrees, and is offered within the Institute of Interdisciplinary Studies, with the many opportunities for intellectually enriching study and discussion which that implies.⁵

The Committee notes that other undergraduate Environmental Studies degree programs in Ontario include: Environmental Studies at the University of Toronto; Urban and Environmental Studies at Brock University; and Environmental and Resource Studies at Trent University. Carleton University argues that these programs differ from the proposed programs in that they are oriented to the natural sciences. The University further argues that the proposed programs will serve the Eastern Ontario and Western Quebec regions.

The Committee notes the existence of other similar programs currently operating in the Ontario University system, but concludes that duplication of existing programs in this area is justifiable given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Potential employers in the Ottawa area, including Environment Canada, the Atomic Energy Control Board and the City of Ottawa, have indicated specific support for the proposed programs through their willingness to participate in the practicum course of the Honours BA program. For example, the Director General of the Atomic Energy Control Board states:

I have discussed this with my colleagues at the Atomic Energy Control Board. We conclude that such a program would be feasible, and indeed that it would be of considerable benefit to students in such an environmental program in developing an understanding of the practical application of expertise in environmental technology in society.

It is possible that the Atomic Energy Control Board could participate in such a co-operative program, since protection of the environment is part of our mandate in regulating nuclear activities in Canada. We would be prepared to discuss this with

5. Carleton University, *Op.cit*

you, in order to ascertain the precise nature of the co-operative program proposed, and the level of involvement that might be expected of us.⁶

Comments received from COU indicate that general support for the proposed programs exist in the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed programs.

9. Institutional Appropriateness

The proposed programs are based upon existing program strengths and resources drawn from the Environmental Engineering and Environmental Science programs at Carleton University. The University also indicates that the proposed program will be supported by established graduate research strengths in Environmental Toxicology and Geography.

The Academic Advisory Committee is satisfied that these programs are an appropriate development at Carleton University.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the General and Honours Bachelor of Arts program in Environmental Studies at Carleton University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

6. Letter from Mr. J.D. Harvie, Director General, Directorate of Research and Safeguards, Atomic Energy Control Board of Canada, to Dr. J. Peter Johnson, Co-ordinator Environmental Studies, Carleton University, December 14, 1992.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**German Studies (Honours BA)
Carleton University**

**New Undergraduate Special Program
considered for Funding Eligibility**

On October 31, 1992, Carleton University submitted the new undergraduate special Honours Bachelor of Arts program in German Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed four-year Honours BA program in German Studies is an interdisciplinary program which aims to lead students to an understanding of significant aspects of the culture of German-speaking countries by providing an integrated framework of related subjects from both the Faculty of Arts and the Faculty of Social Science.¹ The program structure includes a cohesive pattern of courses in two major disciplines plus one minor. Students enrolled in the German Studies program study German as well as one of the following core areas: German and European history; German philosophy and ideology; and German political institutions and political thought. Students also select a second supporting area of study from German art in a European context; German music; religion as an aspect of German thought and culture; and German social thought. Carleton University argues that the flexibility of the curriculum allows for a variety of subject combinations and provides for a range of career possibilities for graduates.

2. Academic Quality

The program was approved by the Senate of Carleton University on January 31, 1992.

3. Financial Viability

The proposed program was reported to the Board of Governors on February 17, 1992. Approval of the Board of Governors' was not required. The Committee notes that the resources necessary to support the program on a long-term basis are already in place.

4. Projected Enrolment

Carleton University indicates that it projects a year-one intake level of two students for the program. The program is expected to reach a steady-state total enrolment level of approximately 10 students in 1998-99.

1. Carleton University, 50 Carleton University, 1942-1992: Faculty of Arts, German Studies.

5. Co-operation with Other Post-Secondary Institutions

The University indicates that this program is based on existing courses at Carleton. No special co-operative arrangements have been undertaken in order to mount this program beyond the existing framework of arrangements concerning library resources and transfer of credits with the University of Ottawa.

Carleton University notes that the Co-ordinating Committee of the German Studies program may approve the inclusion of a course from the University of Ottawa, if there is a course offering available that is of particular interest to a student enrolled in the German Studies program.

6. Societal Need and Student Demand

Carleton University argues that the German-speaking region of Europe has played a central role in the development of Europe and a growing role in world affairs throughout the nineteenth and twentieth centuries. As the largest economy in the modern European Community, the University further argues that Germany is destined to assume an even greater economic and political importance.²

Carleton University states that the proposed program

"... reflects the growing importance of the region and the inevitable (and appropriate) growing interest in it by making available a professional and academic qualification which provides a re-grouping of hitherto separately-existing branches of knowledge."³

The proposed interdisciplinary program, with its broader linguistics expertise and cultural orientation, gives graduates a basis of knowledge and training that suits a variety of professional settings such as international business or law. As well, a combination of German with Political Science and Sociology offers qualifications that would prepare students for employment and further training in a number of government and quasi-government positions in Canada and abroad.

Letters of support, received from potential employers, provide convincing evidence of the societal need for individuals with the skills and knowledge described, as well as the specific positions for which graduates would be qualified. For example, the comments from the Chief of the Multilingual Services Section of the Solicitor General of Canada indicate the need for graduates with German language skills in the public sector as translators:

I am glad to see an initiative such as the creation of a B.A. Honours in German Studies with the aims you describe in your letter. An in-depth knowledge of "the language, culture, and patterns of thinking....of German-speaking central Europe" is an absolute prerequisite for successful translation work. The requirement to take courses in other disciplines besides German language and literature should produce a well-rounded graduate with a broad base of relevant knowledge...

German has always been, by far, our language of heaviest demand in translation. We have always had several full-time translators on staff, and in addition kept a number of freelance resources busy - to varying degrees, depending on demand. At the present time, our volume levels in German are steady. However, in light of the

2. Carleton University, Submission to OCUA for Funding Eligibility Review: BA and Honours BA German Studies, November 2, 1992.

3. Ibid.

recent political and economic developments in Germany and Eastern Europe, we are anticipating a slight increase over the next few years.

In this light, we will be happy to consider as candidates, both for our staff positions and our freelance bank, Carleton graduates of Honours in German Studies program.⁴

Similarly, a Director at the Ministry of Industry, Trade and Technology states that there is a need for graduates with such skills in the specific area of international trade:

...the command of written and spoken German is an asset to working with Ontario's European partners...An employee with a sound knowledge of German is certainly very helpful in dealing with the ministry's german-speaking partners on a daily basis. The Ministry's office in Frankfurt and the Ontario International Corporation in Toronto could offer opportunities for such graduates...⁵

Carleton University indicates that a number of enquiries have been received from the public and interested students at the University regarding the proposed program. The Committee notes that a limited number of places are available to interested students per year. AAC expects that the University will have no problem meeting the projected steady-state enrolment level of 10 students by 1998-99.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

The Committee notes that an Honours BA program in German Area Studies is also being proposed by McMaster University. McMaster's program differs from that being proposed by Carleton University in that McMaster's students are not required to select a concentration in particular subject areas. Students enrolled in the German Area Studies program at McMaster take a range of courses from Political Science, History, Sociology, Art History and Religious Studies.

8. Local and Regional Support for the Program

A number of private and public sector employers in the Ottawa-Carleton region have indicated their support for the proposed program. These include: Employment and Immigration, Department of Justice, Solicitor General of Canada, External Affairs and International Trade Canada, Secretary of State, and Corel Corporation.

Comments received from the Council of Ontario Universities indicate that general support for the proposed program exists within the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed interdisciplinary program offered by the German Studies Department is based upon existing program strengths and resources within Carleton University. All departments, contributing to the program, are involved in teaching and research at the graduate

4. Letter from Mr. R. G. Leckey, Chief, Multilingual Services Section, Solicitor General of Canada, to Dr. Robert Gould, Chair, Department of German, Carleton University, July 27, 1992.

5. Letter from Mr. John Tylee, Director, Ministry of Industry, Trade and Technology, to Dr. Robert Gould, Chair, Department of German, Carleton University, August 12, 1992.

level. The Norman Paterson School of International Affairs provides an additional community of interest and support for the German Studies program.

Carleton University actively participates in the Ontario/Baden-Württemberg Exchange, as well as student exchanges with other German universities. The German Academic Exchange Service awards a scholarship each year to one Carleton student for study at a German university.

The Academic Advisory Committee is satisfied that this program is an appropriate development at Carleton University.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in German Studies at Carleton University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Visual Arts (BA)
Lakehead University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 29, 1992, Lakehead University submitted its new undergraduate quasi-professional Bachelor of Arts program in Visual Arts for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

Lakehead University currently offers a four-year Honours Bachelor of Fine Arts program in Visual Arts. The proposed three-year Bachelor of Arts program in Visual Arts is based entirely on existing courses. Students enrolled in the three-year program will be required to take a first year course load of five, rather than six courses as required in the four-year Honours program. Two introductory half-courses in Painting, Printmaking, Sculpture, and Ceramics will be required whereas students enrolled in the four-year program are required to take four. Also, students enrolled in the three-year program will be required to take one other academic elective, in addition to Art History, in each year. The required minimum average for three-year students will be 60%, as compared to 70% for four-year Honours students.

Lakehead University provides a number of reasons for offering a three-year BA program in Visual Arts. For example, students who wish to graduate with a double major have expressed interest in combining their Visual Arts major with another academic area. Under the structure of the proposed three-year program, this option is possible and is particularly attractive to those students who are considering a career in teaching. Also, Lakehead University states that there is increased student demand from part-time students for a shorter program. The proposed three-year program reduces the total number of courses required by five full-year courses, and therefore significantly reduces program length for part-time students. Finally, some Visual Arts students wish to focus more of their learning on studio courses. The proposed three-year program offers Visual Arts students the alternative of a program of study which allows for an emphasis on developing skills and techniques necessary for success as studio artists.¹

Student demand for the proposed program is expected to be strong. Lakehead University states that six students currently enrolled in the Honours BFA program full-time have indicated they would enrol in the proposed three-year program on a part-time basis.

The proposed program received Senate approval on March 25, 1992. The University indicates that no additional resources will be necessary in order to mount this program.

1. Lakehead University, Submission to OCUA for Funding Eligibility Review: Visual Arts, BA, October 29, 1992, p. 2.

Comments provided by COU indicate that system-wide support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the request for a new BA program in Visual Arts, based on an existing Honours BFA program in Visual Arts at Lakehead University, is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Arts program in Visual Arts at Lakehead University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Ceramic Engineering and Society, BEng(Soc)
McMaster University**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate professional Bachelor of Engineering (Society) program in Ceramic Engineering and Society to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) which, in turn, forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The Academic Advisory Committee notes that the proposed program is part of McMaster's broader plan to offer five-year Engineering and Society programs complementary to its eight regular four-year Engineering programs including: Ceramic, Chemical, Civil, Computer, Electrical, Materials, Mechanical and Metallurgical Engineering. Currently, McMaster University offers five-year Civil and Chemical Engineering and Society (BEng[Soc]) programs as well as a four-year Ceramic Engineering program. Students enrolled in the proposed program will obtain the full Ceramic Engineering program required by the Canadian Engineering Accreditation Board (CEAB), plus an additional set of complementary courses in the fields of Engineering Economics, Social Control of Technology, Culture of Technology and Environmental Studies. The Committee notes that the proposed Ceramic Engineering and Society (BEng[Soc]) program follows McMaster University's Engineering and Management model in that it is five years in duration. The additional year of study provides for significantly more liberal education content than is found in the regular Ceramic Engineering program curriculum. McMaster University indicates that over 75% of the courses, within the proposed new program, currently exist under the University's BEng in Ceramic Engineering program.

McMaster University argues that in a society in which technology plays an increasingly dominant role, effective engineering practice requires both technical excellence and a thorough understanding of how technology fits into the larger context of society and the environment. Accordingly, it is the objective of the proposed program to produce engineers who are not only technically competent in their chosen fields of specialization but who also have a deeper understanding of the interaction of their profession with society.¹

1. McMaster University, Request for Funding Eligibility: Ceramic Engineering and Society, October 28, 1992.

McMaster University indicates that the engineering profession recognizes a changing set of needs for society and new demands by students and employers. The CEAB now requires that Engineering studies include the impact of technology on society. The University feels that this program responds to these changing needs and requirements. Comments made by a representative from the Stelco Technology Centre substantiate this claim:

We need engineers who are not only technically competent, but also have a fundamental understanding of the human, social, and environmental concepts and frameworks. The decisions and value judgements of the future must be made with a balanced understanding of the important facets involved.²

McMaster University states that the actual enrolment in each Engineering and Society program is expected to fluctuate. In 1991-92, one student was enrolled in the Ceramic Engineering and Society program whereas eight students were enrolled in the Chemical Engineering and Society program. Additional information sought by the Committee indicated that a maximum of 30 students will be admitted into year-two of all eight Engineering and Society programs for an average of approximately four students per program annually.

The Academic Advisory Committee notes that students enrolling in the proposed program will be drawn from the current pool of students intending to continue in existing Engineering programs. No additional students will be admitted into year-one Engineering as a result of this program. McMaster University argues that enrolment figures, to date, indicate a high student demand for the Engineering and Society programs from females and high academic achievers. In 1992-93, 25% of the students admitted into the Engineering and Society programs were female as compared to an average of 15% female enrolment in all other McMaster Engineering programs. Similarly, of the 25 year-two students admitted into the program in 1992-93, 11 (44%) were on the Dean's Honour List.

The proposed program received Senate approval on January 9, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

CODE's comments, provided by COU, indicate that system-wide support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Engineering (Society) program in Ceramic Engineering and Society at McMaster University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

2. Letter from Mr. Leslie C. McLean, President, Stelco Technical Services Limited, to Professor M.A. Dokainish, Associate Dean, McMaster University, Faculty of Engineering, November 28, 1990.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Computer Engineering and Society, BEng(Soc)
McMaster University**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate professional Bachelor of Engineering (Society) program in Computer Engineering and Society to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) which, in turn, forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The Academic Advisory Committee notes that the proposed program is part of McMaster's broader plan to offer five-year Engineering and Society programs complementary to its eight regular four-year Engineering programs including: Ceramic, Chemical, Civil, Computer, Electrical, Materials, Mechanical and Metallurgical Engineering. McMaster University offers five-year Civil and Chemical Engineering and Society (BEng[Soc]) programs as well as a four-year Computer Engineering program. Students enrolled in the proposed program will obtain the full Computer Engineering program required by the Canadian Engineering Accreditation Board (CEAB), plus an additional set of complementary courses in the fields of Engineering Economics, Social Control of Technology, Culture of Technology and Environmental Studies. The Committee notes that the proposed Computer Engineering and Society (BEng[Soc]) program follows McMaster University's Engineering and Management model in that it is five years in duration. The additional year of study provides for significantly more liberal education content than is found in the regular Computer Engineering program curriculum. McMaster University indicates that over 75% of the courses, within the proposed new program, currently exist under the University's BEng in Computer Engineering program.

McMaster University argues that in a society in which technology plays an increasingly dominant role, effective engineering practice requires both technical excellence and a thorough understanding of how technology fits into the larger context of society and the environment. Accordingly, it is the objective of the proposed program to produce engineers who are not only technically competent in their chosen fields of specialization but who also have a deeper understanding of the interaction of their profession with society.¹

McMaster University indicates that the engineering profession recognizes a changing set of needs for society and new demands by students and employers. The CEAB now requires that Engineering studies include the impact of technology on society. The University feels that the

1. McMaster University, Request for Funding Eligibility: Computer Engineering and Society, October 28, 1992.

proposed program responds to these changing needs and requirements. Comments made by a representative from the Stelco Technology Centre substantiate this claim:

We need engineers who are not only technically competent, but also have a fundamental understanding of the human, social, and environmental concepts and frameworks. The decisions and value judgements of the future must be made with a balanced understanding of the important facets involved.²

McMaster University states that the actual enrolment in each Engineering and Society program is expected to fluctuate. In 1991-92, two students were enrolled in the Computer Engineering and Society program whereas eight students were enrolled in the Chemical Engineering and Society program. Additional information sought by the Committee indicates that a maximum of 30 students will be admitted into year-two of all eight Engineering and Society programs for an average of approximately four students per program annually.

The Academic Advisory Committee notes that students enrolling in the proposed program will be drawn from the current pool of students intending to continue in existing Engineering programs. No additional students will be admitted into year-one Engineering as a result of this program. McMaster University argues that enrolment figures, to date, indicate a high student demand for the Engineering and Society programs from females and high academic achievers. In 1992-93, 25% of the students admitted into the Engineering and Society programs were female as compared to an average of 15% female enrolment in all other McMaster Engineering programs. Similarly, of the 25 year-two students admitted into the program in 1992-93, 11 (44%) were on the Dean's Honour List.

The proposed program received Senate approval on January 9, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

CODE's comments, provided by COU, indicate that system-wide support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Engineering (Society) program in Computer Engineering and Society at McMaster University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

2. Letter from Mr. Leslie C. McLean, President, Stelco Technical Services Limited, to Professor M.A. Dokainish, Associate Dean, McMaster University, Faculty of Engineering, November 28, 1990.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Electrical Engineering and Society, BEng(Soc)
McMaster University**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate professional Bachelor of Engineering (Society) program in Electrical Engineering and Society to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) which, in turn, forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The Academic Advisory Committee notes that the proposed program is part of McMaster's broader plan to offer five-year Engineering and Society programs complementary to its eight regular four-year Engineering programs including: Ceramic, Chemical, Civil, Computer, Electrical, Materials, Mechanical and Metallurgical Engineering. McMaster University offers five-year Civil and Chemical Engineering and Society (BEng[Soc]) programs, as well as a four-year Electrical Engineering program. Students enrolled in the proposed program will obtain the full Electrical Engineering program required by the Canadian Engineering Accreditation Board (CEAB), plus an additional set of complementary courses in the fields of History of Technology, Culture of Technology, Social Control of Technology, Environmental Studies and Engineering Economics. The Committee notes that the proposed Electrical Engineering and Society (BEng[Soc]) program follows McMaster University's Engineering and Management model in that it is five years in duration. The additional year of study provides for significantly more liberal education content than is found in the regular Electrical Engineering program curriculum. McMaster University indicates that over 75% of the courses within the proposed new program currently exist under the University's BEng in Electrical Engineering program.

McMaster University argues that in a society in which technology plays an increasingly dominant role, effective engineering practice requires both technical excellence and a thorough understanding of how technology fits into the larger context of society and the environment. Accordingly, it is the objective of the proposed program to produce engineers who are not only technically competent in their chosen fields of specialization but who also have a deeper understanding of the interaction of their profession with society.¹

McMaster University indicates that the engineering profession recognizes a changing set of needs for society and new demands by students and employers. The University feels that this

1. McMaster University, Request for Funding Eligibility: Electrical Engineering and Society, October 28, 1992.

program responds to these changing needs. Comments made by a representative from the Stelco Technology Centre substantiate this claim:

We need engineers who are not only technically competent, but also have a fundamental understanding of the human, social, and environmental concepts and frameworks. The decisions and value judgements of the future must be made with a balanced understanding of the important facets involved.²

McMaster University states that the actual enrolment in each Engineering and Society program is expected to fluctuate. In 1991-92, three students were enrolled in the Electrical Engineering and Society program. Additional information sought by the Committee indicates that a maximum of 30 students will be admitted into year-two of all eight Engineering and Society programs for an average of approximately four students per program annually.

The Academic Advisory Committee notes that students enrolling in the proposed program will be drawn from the current pool of students intending to continue in existing Engineering programs. No additional students will be admitted into year-one Engineering as a result of this program. McMaster University argues that enrolment figures, to date, indicate a high student demand for the Engineering and Society programs from females and high academic achievers. In 1992-93, 25% of the students admitted into the Engineering and Society programs were female as compared to an average of 15% female enrolment in all other McMaster Engineering programs. Similarly, of the 25 year-two students admitted into the program in 1992-93, 11 (44%) were on the Dean's Honour List.

The proposed program received Senate approval on January 9, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

CODE's comments, provided by COU, indicate that support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Engineering (Society) program in Electrical Engineering and Society at McMaster University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

2. Letter from Mr. Leslie C. McLean, President, Stelco Technical Services Limited, to Professor M.A. Dokainish, Associate Dean, McMaster University, Faculty of Engineering, November 28, 1990.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**German Area Studies (Honours BA)
McMaster University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate special Honours Bachelor of Arts program in German Area Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Honours BA program in German Area Studies is part of the recent reorganization of the Faculty of Humanities at McMaster University. This interdisciplinary program combines German Language courses with courses offered by the Departments of Sociology, Anthropology, Religious Studies, Political Science and History. Existing courses have been combined in order to offer this program. The proposed program replaces the existing Combined Honours BA program in German and Political Science.

McMaster University argues that there is a growing trend throughout North America for Modern Language departments to expand their interests into the cultural, social and political background of those countries associated with the languages they teach.¹ The integration of a broader array of courses in the restructured program follows this discipline trend.

McMaster University argues that recent changes, which have occurred in central Europe, have opened up unparalleled opportunities in business, education, government, cultural affairs and communications for graduates who combine language skills with extensive knowledge of the cultural and political traditions of German-speaking countries.² The Committee notes that graduating students will meet the needs of employers, in a variety of sectors, who require individuals with German language skills as well as knowledge of the cultural, social and political background of Germany.

McMaster expects a steady-state total enrolment of ten students to be reached by 1995-96. The University also indicates that student demand for existing German courses is strong.

The Committee notes that Carleton University is also proposing a new Honours Bachelor of Arts program in German Studies.

The proposed program received Senate approval on January 8, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the

1. McMaster University, Request for Funding Eligibility: Honours German Area Studies, October 28, 1992.

2. Ibid.

central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

Comments, provided by COU, indicate that support exists for the proposed program modification within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in German Area Studies at McMaster University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Linguistics (Honours BA)
McMaster University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate special Honours Bachelor of Arts program in Linguistics to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Honours BA program in Linguistics is part of the recent reorganization of the Faculty of Humanities at McMaster University. Currently, the University offers a Honours BA program in Modern Languages and Linguistics. The proposed program combines existing courses in linguistics and modern languages to offer an interdisciplinary program with a Linguistics emphasis. Students enrolled in the proposed program will "explore the theoretical foundations of Linguistics while also acquiring practical skills in a number of languages."¹ The program reflects McMaster University's strengths in the following Linguistics sub-disciplines: Phonology, Morphology, Syntax, and Applied Computational and Socio-Linguistics.

McMaster University argues that the existing Honours BA program in Modern Languages and Linguistics offers a limited introduction to Linguistics as a whole discipline and that a growing societal need exists for individuals with a more comprehensive knowledge of the field. Graduates of the proposed program are expected to enter careers in which there has been a growth in societal demand for individuals with particular related skills and knowledge. For example, graduates with such skills are required in the implementation and development of literacy programs and the exploration of computer and multi-media spin-offs from Linguistic research. McMaster also indicates that the proposed program provides general background for those students who wish to further their studies in Speech Pathology and Audiology or Special Needs Education.

McMaster states that "many students have voiced their opinion that the University needs a programme in linguistics"² The University also indicates that the existing Honours BA program in Modern Languages and Linguistics program has been successful in attracting qualified students. The Committee notes that 10 year-one McMaster students have selected the Honours Linguistics program for year-two entry in 1993-94.

1. McMaster University, Into the 21st Century: 1993-1994 Undergraduate Calendar, p. 69.

2. McMaster University, Request for Funding Eligibility: Linguistics, October 28, 1992.

The proposed program received Senate approval on January 8, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

Comments received from COU indicate that support exists for the proposed program in the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Linguistics at McMaster University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Literary Studies (Combined Honours BA)
McMaster University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate special Combined Honours Bachelor of Arts program in Literary Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Combined Honours BA program in Literary Studies is part of the recent reorganization of the Faculty of Humanities at McMaster University. This interdisciplinary program is a combination of courses in Literary Theory, Literary Criticism and Literary Comparativistics which allows students to combine the study of Literature, on a broad scale, with such other subjects as English, Philosophy, Classical Studies, Music, Art History or Drama. McMaster University indicates that this program will replace the existing approved Combined Honours BA program in Comparative Literature. The proposed program offers a type of humanistic education which incorporates a broad literary vision.¹ Three courses have been added in order to mount the proposed Literary Studies program. Less than 25% of the courses in the proposed program are new.

McMaster University indicates that this program is expected to provide an attractive alternative for Literature students who are looking for an alternative to English as a major. Student demand is also expected to originate from students who wish to study comparative literature without the addition of the "full slate of courses in a national language and literature" required in the Comparative Literature program.²

The proposed program received Senate approval on January 8, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

Comments received from COU indicate that general support exists for the proposed program modification in the Ontario university system.

1. McMaster University, Request for Funding Eligibility: Combined Honours Literary Studies and Another Subject, October 28, 1992.

2. Ibid.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Combined Honours Bachelor of Arts program in Literary Studies at McMaster University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Materials Engineering and Society, BEng(Soc)
McMaster University**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate professional Bachelor of Engineering (Society) program in Materials Engineering and Society to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) which, in turn, forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The Academic Advisory Committee notes that the proposed program is part of McMaster's broader plan to offer five-year Engineering and Society programs complementary to its eight regular four-year Engineering programs including: Ceramic, Chemical, Civil, Computer, Electrical, Materials, Mechanical and Metallurgical Engineering. Currently, McMaster University offers five-year Civil and Chemical Engineering and Society (BEng(Soc)) programs as well as a four-year Materials Engineering program. Students enrolled in the proposed program will obtain the full Materials Engineering program required by the Canadian Engineering Accreditation Board (CEAB), plus an additional set of complementary courses in the fields of History of Technology, Culture of Technology, Social Control of Technology, Environmental Studies and Engineering Economics. The Committee notes that the proposed Materials Engineering and Society (BEng(Soc)) program follows McMaster University's Engineering and Management model in that it is five years in duration. The additional year of study provides for significantly more liberal education content than is found in the regular Materials Engineering program curriculum. McMaster University indicates that over 75% of the courses, within the proposed new program, currently exist under the University's BEng in Materials Engineering program.

McMaster University argues that in a society in which technology plays an increasingly dominant role, effective engineering practice requires both technical excellence and a thorough understanding of how technology fits into the larger context of society and the environment. Accordingly, it is the objective of the proposed program to produce engineers who are not only technically competent in their chosen fields of specialization but who also have a deeper understanding of the interaction of their profession with society.¹

McMaster University indicates that the engineering profession recognizes a changing set of needs for society and new demands by students and employers. The University feels that this

1. McMaster University, Request for Funding Eligibility: Materials Engineering and Society, October 28, 1992.

program responds to these changing needs. Comments made by a representative from the Stelco Technology Centre substantiate this claim:

We need engineers who are not only technically competent, but also have a fundamental understanding of the human, social, and environmental concepts and frameworks. The decisions and value judgements of the future must be made with a balanced understanding of the important facets involved.²

McMaster University states that the actual enrolment in each Engineering and Society program is expected to fluctuate. Additional information sought by the Committee indicates that a maximum of 30 students will be admitted into year-two of all eight Engineering and Society programs for an average of approximately four students per program annually.

The Academic Advisory Committee notes that students enrolling in the proposed program will be drawn from the current pool of students intending to continue in existing Engineering programs. No additional students will be admitted into year-one Engineering as a result of this program. McMaster University argues that enrolment figures, to date, indicate a higher student demand for the Engineering and Society programs from females and high academic achievers. In 1992-93, 25% of the students admitted into the Engineering and Society programs were female as compared to an average of 15% female enrolment in all other McMaster Engineering programs. Similarly, of the 25 year-two students admitted into the program in 1992-93, 11 (44%) were on the Dean's Honour List.

The proposed program received Senate approval on January 9, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

CODE's comments, provided by COU, indicate that support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Engineering (Society) program in Materials Engineering and Society at McMaster University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

2. Letter from Mr. Leslie C. McLean, President, Stelco Technical Services, Limited, to Professor M.A. Dokainish, Associate Dean, McMaster University, Faculty of Engineering, November 28, 1990.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Mechanical Engineering and Society, BEng(Soc)
McMaster University**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate professional Bachelor of Engineering (Society) program in Mechanical Engineering and Society to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) which, in turn, forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The Academic Advisory Committee notes that the proposed program is part of McMaster's broader plan to offer five-year Engineering and Society programs complementary to its eight regular four-year Engineering programs including: Ceramic, Chemical, Civil, Computer, Electrical, Materials, Mechanical and Metallurgical Engineering. Currently, McMaster University offers five-year Civil and Chemical Engineering and Society (BEng[Soc]) programs as well as a four-year Mechanical Engineering program. Students enroled in the proposed program will obtain the full Mechanical Engineering program required by the Canadian Engineering Accreditation Board (CEAB), plus an additional set of complementary courses in the fields of History of Technology, Culture of Technology, Social Control of Technology, Environmental Studies and Engineering Economics. The Committee notes that the proposed Mechanical Engineering and Society (BEng[Soc]) program follows McMaster University's Engineering and Management model in that it is five years in duration. The additional year of study provides for significantly more liberal education content than is found in the regular Mechanical Engineering program curriculum. McMaster University indicates that over 75% of the courses within the proposed new program currently exist under the University's BEng in Mechanical Engineering program.

McMaster University argues that in a society in which technology plays an increasingly dominant role, effective engineering practice requires both technical excellence and a thorough understanding of how technology fits into the larger context of society and the environment. Accordingly, it is the objective of the proposed program to produce engineers who are not only technically competent in their chosen fields of specialization but who also have a deeper understanding of the interaction of their profession with society.¹

McMaster University indicates that the engineering profession recognizes a changing set of needs for society and new demands by students and employers. The University feels that this

1. McMaster University, Request for Funding Eligibility: Materials Engineering and Society, October 28, 1992.

program responds to these changing needs. Comments made by a representative from the Stelco Technology Centre substantiate this claim:

We need engineers who are not only technically competent, but also have a fundamental understanding of the human, social, and environmental concepts and frameworks. The decisions and value judgements of the future must be made with a balanced understanding of the important facets involved.²

McMaster University states that the actual enrolment in each Engineering and Society program is expected to fluctuate. In 1991-92, five students were enrolled in the Mechanical Engineering and Society program. Additional information sought by the Committee indicates that a maximum of 30 students will be admitted into year-two of all eight Engineering and Society programs for an average of approximately four students per program annually.

The Academic Advisory Committee notes that students, enrolling in the proposed program, will be drawn from the current pool of students intending to continue in existing Engineering programs. No additional students will be admitted into year-one Engineering as a result of this program. McMaster University argues that enrolment figures, to date, indicate a high student demand for the Engineering and Society programs from females and high academic achievers. In 1992-93, 25% of the students admitted into the Engineering and Society programs were female as compared to an average of 15% female enrolment in all other McMaster Engineering programs. Similarly, of the 25 year-two students admitted into the program in 1992-93, 11 (44%) were on the Dean's Honour List.

The proposed program received Senate approval on January 9, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

CODE's comments, provided by COU, indicate that support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Engineering (Society) program in Mechanical Engineering and Society at McMaster University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

2. Letter from Mr. Leslie C. McLean, President, Stelco Technical Services Limited, to Professor M.A. Dokainish, Associate Dean, McMaster University, Faculty of Engineering, November 28, 1990.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Metallurgical Engineering and Society, BEng(Soc)
McMaster University**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate professional Bachelor of Engineering (Society) program in Metallurgical Engineering and Society to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) which, in turn, forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The Academic Advisory Committee notes that the proposed program is part of McMaster's broader plan to offer five-year Engineering and Society programs complementary to its eight regular four-year Engineering programs including: Ceramic, Chemical, Civil, Computer, Electrical, Materials, Mechanical and Metallurgical Engineering. Currently, McMaster University offers five-year Civil and Chemical Engineering and Society (BEng[Soc]) programs as well as a four-year Metallurgical Engineering program. Students enrolled in the proposed program will obtain the full Metallurgical Engineering program required by the Canadian Engineering Accreditation Board (CEAB), plus an additional set of complementary courses in the fields of History of Technology, Culture of Technology, Social Control of Technology, Environmental Studies and Engineering Economics. The Committee notes that the proposed Metallurgical Engineering and Society (BEng[Soc]) program follows McMaster University's Engineering and Management model in that it is five years in duration. The additional year of study provides for significantly more liberal education content than is found in the regular Metallurgical Engineering program curriculum. McMaster University indicates that over 75% of the courses within the proposed new program currently exist under the University's BEng in Metallurgical Engineering program.

McMaster University argues that in a society in which technology plays an increasingly dominant role, effective engineering practice requires both technical excellence and a thorough understanding of how technology fits into the larger context of society and the environment. Accordingly, it is the objective of the proposed program to produce engineers who are not only technically competent in their chosen fields of specialization but who also have a deeper understanding of the interaction of their profession with society.¹

McMaster University indicates that the engineering profession recognizes a changing set of needs for society and new demands by students and employers. The University feels that this

1. McMaster University, Request for Funding Eligibility: Metallurgical Engineering and Society, October 28, 1992.

program responds to these changing needs. Comments made by a representative from the Stelco Technology Centre substantiate this claim:

We need engineers who are not only technically competent, but also have a fundamental understanding of the human, social, and environmental concepts and frameworks. The decisions and value judgements of the future must be made with a balanced understanding of the important facets involved.²

McMaster University states that the actual enrolment in each Engineering and Society program is expected to fluctuate. Additional information sought by the Committee indicates that a maximum of 30 students will be admitted into year-two of all eight Engineering and Society programs for an average of approximately four students per program annually.

The Academic Advisory Committee notes that students enrolling in the proposed program will be drawn from the current pool of students intending to continue in existing Engineering programs. No additional students will be admitted into year-one Engineering as a result of this program. McMaster University argues that enrolment figures, to date, indicate a high student demand for the Engineering and Society programs from females and high academic achievers. In 1992-93, 25% of the students admitted into the Engineering and Society programs were female as compared to an average of 15% female enrolment in all other McMaster Engineering programs. Similarly, of the 25 year-two students admitted into the program in 1992-93, 11 (44%) were on the Dean's Honour List.

The proposed program received Senate approval on January 9, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

CODE's comments, provided by COU, indicate that support exists for the proposed program within the Ontario university system.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Engineering (Society) program in Metallurgical Engineering and Society at McMaster University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

2. Letter from Mr. Leslie C. McLean, President, Stelco Technical Services Limited, to Professor M.A. Dokainish, Associate Dean, McMaster University, Faculty of Engineering, November 28, 1990.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Modern Languages (Honours BA)
McMaster University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate special Honours Bachelor of Arts program in Modern Languages to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Honours BA program in Modern Languages is part of the recent reorganization of the Faculty of Humanities at McMaster University. This program combines the study of two of the modern languages (German, Italian, Russian or Spanish), and their respective literatures, with Literary Theory and Linguistics courses. The proposed program replaces the single Honours programs in four language areas involving two subject areas.

McMaster argues that the proposed program will: provide a more focused set of offerings; reduce the number of Literature courses, in translation, available to Honours students; offer students a better theoretical grounding in comparative and textual criticism; and aid in rationalization of faculty resources.¹ The Modern Language programs under the previous program structure produced graduates with good language skills and a knowledge of a national literary tradition. The new proposed program, with its added emphasis on theoretical preparation and an acquaintance with literature outside the area of specialization, is expected to produce graduates who are better equipped for the job market as well as graduate language programs.²

Student demand for the proposed program is expected to, at a minimum, match the enrolment levels in the four previous single-honours programs. Twenty-two year-one students have selected entry into year-two of the proposed Honours BA program in Modern Languages for the 1993-94 academic year.

The proposed program received Senate approval on January 8, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program. The Committee notes that the new program structure allows for possible faculty cost savings.

Comments received from COU indicate that support exists for the proposed program modification in the Ontario university system.

1. McMaster University, Request for Funding Eligibility: Honours Modern Languages, October 28, 1992.

2. Ibid.

The Academic Advisory Committee is satisfied that the proposed program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Modern Languages at McMaster University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Russian and East European Area Studies (Honours BA)
McMaster University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On October 28, 1992, McMaster University submitted the new undergraduate special Honours Bachelor of Arts program in Russian and East European Area Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Honours BA program in Russian and East European Area Studies is part of the recent reorganization of the Faculty of Humanities at McMaster University. This interdisciplinary program combines existing Russian Language courses with courses offered by the Departments of Anthropology, Political Science and History. The proposed program replaces the existing Combined Honours BA program in Russian and Political Science.

McMaster University argues that there is a growing trend throughout North America for Modern Language departments to expand their interests into the cultural, social and political background of those countries which are associated with the languages they teach.¹ McMaster University states that the integration of a broader array of courses in Russian Language, History, Politics and Anthropology, under the restructured program, will offer students an interdisciplinary approach consistent with recent developments in the field.

McMaster University argues that recent changes which have occurred in Eastern Europe have created new opportunities in business, education, government, cultural affairs and communications for graduates who combine language skills with extensive knowledge of the cultural and political traditions.² The Committee notes that students graduating from the proposed program will meet the needs of employers in a variety of sectors who require graduates with Russian language skills as well as cultural, social and political background knowledge of such countries as Russia, Ukraine, Belorussia, Lithuania, Latvia, Estonia, Poland, Czechoslovakia, Yugoslavia, Romania and Bulgaria.

Student demand for the proposed program is expected to be strong. A recent trip organized by the University to Russia attracted over 100 McMaster students who have since expressed interest in the introduction of a program in Russian and East European Area Studies. McMaster

1. McMaster University, Request for Funding Eligibility: Honours Russian & East European Area Studies, October 28, 1992.

2. Ibid.

University states that the majority of students, expected to enrol in the program, are those students who would have otherwise enrolled in History or Political Science.

The proposed program received Senate approval on January 8, 1991. McMaster University indicates that the program will be offered without any additional demands being placed on the central University budget. External funding or adjustment of internal resources will cover the additional costs of offering the program.

Comments, provided by COU, indicate that support exists for the proposed program modification in the Ontario university system.

The Academic Advisory Committee is satisfied that the program primarily involves a repackaging of existing courses, and that McMaster University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Russian and East European Area Studies at McMaster University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Science (Earth System Science) Honours BSc
Queen's University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On October 28 1992, Queen's University submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Science (Earth Systems Science) to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed program is one of four new multidisciplinary Environmental Science programs being proposed by Queen's University. The Environmental Science (Earth Systems Science) program includes a core of basic courses in Biological and Physical Sciences and Mathematics as well as specialized study in Physical Geography. The proposed program combines the breadth and integrated approach needed to understand complex problems of the environment with specialized knowledge in the field of Physical Geography. Graduates are provided with the level of expertise necessary to function as environmental scientists.¹ Two new interdisciplinary courses have been created in order to offer this program.

2. Academic Quality

The program was approved by the Senate of Queen's University on May 28, 1992.

3. Financial Viability

The Committee notes that the resources necessary to support the program on a long-term basis are already in place. Approval by the Board of Governors was not required.

The Committee notes that funds for the development of the two new Environmental Science courses (ENSC 300 and ENSC 400) were obtained through the Principal's Development Fund.

4. Projected Enrolment

Queen's University indicates that 32 students are currently enrolled in the proposed Environmental Science (Earth Systems Science) program. It is projected that a year-one intake level of 25 students will be reached in 1995-96. The program is expected to reach a steady-state total enrolment level of approximately 100 students in 1995-96.

1. Queen's University, Brief to The Ontario Council on University Affairs on the Bachelor of Science (Honours Environmental Science) at Queen's University, "Introduction", October 29, 1992, p. 2.

The Committee notes that projected enrolment levels vary across the four proposed Environmental Science programs.

5. Co-operation with Other Post-Secondary Institutions

Co-operative arrangements were explored with St. Lawrence College and the Royal Military College, located in Kingston, which offer Environmental Engineering options in Civil Engineering. Preliminary discussions, with both institutions, revealed that such arrangements would not be appropriate at this time. Queen's University argues that there are no other institutions sufficiently close with which students could be exchanged in order to share courses. The University does indicate that as the Environmental Science programs become more established, links will be sought with agencies in the field.

6. Societal Need and Student Demand

Queen's University states that "[t]he relation of humans to our environment is the single greatest problem facing the world at present, and the importance of that problem will increase in future."² Accordingly, the University believes that it is the obligation of universities to society to educate students on environmental matters.

Environmental scientists find employment in: government departments and agencies at the local, provincial and municipal levels; private practice, particularly environmental consulting firms; and industry supplying the environmental market. The University states that an Honours BSc in Environmental Science prepares students for work in environmental monitoring programs, both in the field and laboratory, as well as in areas of management and policy.

Environmental Science (Earth Systems Science) graduates are expected to find careers in environmental monitoring with such organizations as the Ministry of Environment and Energy, the Centre for Inland Waters and the Geological Survey of Canada. As well, through the increased use of technology, environmental scientists are now trained to assess the nature of the earth surface and to manage and use that information. Environmental Science (Earth Systems Science) graduates, with skills in computer-based technology referred to as Geographic Information Systems (GIS), are expected to find employment with environmental consulting firms specializing in this field.

Environmental Science (Earth Systems Science) graduates may also continue their studies at the graduate level.

Letters of support were received from numerous potential employers testifying to the need for graduates in environmental fields.³ For example, a Supervisor with the Ministry of the Environment states:

I feel that this program is very worthwhile, since it will give students the type of interdisciplinary background needed to cope with today's very complex environmental issues. Once in the workforce, graduates are often expected to deal with a wide variety of problems that are not restricted to one particular field of science. For problem resolution, a broad grounding in environmental sciences tempered with an understanding of political and economic realities is very valuable.

2. *Ibid.*, "Information Pertaining to the Overall Program", p. 7.

3. Letters of support were received from the following organizations: Environment Canada, O'Connor Associates Environmental Inc., multiVIEW Geoservices Inc., Petro-Canada Resources, Energy, Mines and Resources Canada, The Corporation of the City of Kingston, Gartner Lee (Professional Services in Environmental Management), Greggs & Associates Geological Consultants Ltd., AECL Research, Trent University, Ministry of the Environment, Ministry of the Environment (Province of British Columbia), Laidlaw Waste Systems Ltd., Rawson Academy of Aquatic Science, Mines and Resources Canada and the Regional Municipality of Waterloo.

This appears to be a course that provides this type of background i.e. a good mix of core science and environmental management knowledge.⁴

Comments made by the Director of the Terrain Science Division at Geological Survey of Canada substantiate the claim made by Queen's University regarding the need for Environmental Science (Earth System Science) graduates with multidisciplinary and GIS skills in industry and with consulting firms:

It is certainly this kind of integrated knowledge that I am looking for in people when I am hiring them to address some of the above mentioned issues. I do not think that this will change much in the near future, and I know that this is what colleagues in industry and consulting fields are looking for. We must continue to provide students with a strong base in the various disciplines (always stressing training and computer tools, GIS, etc.)⁵

Student demand for the proposed program is expected to be strong. According to comments made by individuals wishing to enrol in the proposed Environmental Science programs, prospective students, with focused career aspirations in the field, demonstrate a strong interest in the program. For example, when asked to indicate expectations regarding the proposed program, one student had the following comments:

I am looking forward to taking a program that should give me a fuller and more diverse education about the world than a [traditional science] degree could offer.⁶

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Environmental Science programs exist at Brock University, Carleton University, University of Guelph, Laurentian University, University of Toronto, Trent University, University of Waterloo and The University of Western Ontario.

Queen's University recognizes the existence of such other programs in the Ontario university system but argues that sufficient societal need and student demand exist to justify the existence of several programs. Specifically, Queen's University states:

...we estimate that there is sufficient demand for environmental scientists trained from a solid foundation in science that our program will not take potential enrolment in other programs, but rather will serve a growing need for postsecondary education in the field.⁷

4. Letter from Mr. Bill Keller, Supervisor, Special Studies, Ministry of the Environment, to Dr. William D. McCready, Dean, Faculty of Arts and Science, Queen's University, September 30, 1992.

5. Letter from Mr. Jean-Serge Vincent, Director, Terrain Science Division, Geological Survey of Canada, Energy, Mines and Resources Canada, to Dr. Wm. D. McCready, Dean, Faculty of Arts and Science, Queen's University, September 23, 1992.

6. Queen's University, Op. cit., p. 7.

7. Queen's University, Op. cit., "Information Pertaining to the Overall Program", p. 9.

This claim is substantiated by the Chancellor of Trent University who states:

I have long felt that Queen's University would be, and certainly is, an ideal place wherein to plant a BSc Honours Degree in Environmental Science. If Trent's experience is anything to go on, the students' response will be very strong. It is their perception, which I share, that the demand for qualified graduates in the environmental field will remain strong in spite of the downturn in the economy.⁸

The Committee notes the existence of other Environmental Science programs currently operating in the Ontario university system. However, AAC concludes that duplication of existing programs is justifiable, in this area, given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Letters of support for the four Environmental Science programs have been received from the following organizations in the Kingston area: Office of the Mayor, the Corporation of the City of Kingston; Laidlaw Waste Systems Ltd.; and the Ministry of the Environment, Southeastern Region.

Comments received from the Council of Ontario Universities indicate that support for the proposed program exists within the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing strengths, particularly in Wetland Hydrology, Climatology, Pedology, Geomorphology, Limnology and Oceanography. The University indicates that an array of field and laboratory equipment is available for use in teaching courses and conducting research. As well, GIS training, which is an important aspect of the proposed program, is supported by the IBM computing facility.

The Academic Advisory Committee is satisfied that this program is an appropriate development at Queen's University.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Science (Earth Systems Science) at Queen's University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

8. Letter from Dr. F. Kenneth Hare, Chancellor, Trent University, to Dr. Wm. D. McCready, Dean, Faculty of Arts and Science, October 2, 1992.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Science (Environmental Biology) Honours BSc
Queen's University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On October 28 1992, Queen's University submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Science (Environmental Biology) to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed program is one of four new multidisciplinary Environmental Science programs being proposed by Queen's University. The Environmental Science (Environmental Biology) program includes a core of basic courses in Biological and Physical Sciences and Mathematics as well as specialized study in Biology. The broad range of Field, Laboratory, Data Management and Communications courses, that comprise the program, provide graduates with the specific skills and knowledge necessary to pursue careers as environmental scientists or professional biologists.¹ Two new interdisciplinary courses have been created in order to offer this program.

2. Academic Quality

The program was approved by the Senate of Queen's University on May 28, 1992.

3. Financial Viability

The Committee notes that the resources necessary to support the program on a long-term basis are already in place. Approval by the Board of Governors was not required.

The Committee notes that funds for the development of the two new Environmental Science courses (ENSC 300 and ENSC 400) were obtained from the Principal's Development Fund.

4. Projected Enrolment

Queen's University indicates that 27 students are currently enrolled in the proposed Environmental Science (Environmental Biology) program. It is projected that a year-one intake level of 25 students will be reached in 1995-96. The program is expected to reach a steady-state total enrolment level of approximately 100 students in 1995-96.

1. Queen's University, Brief to The Ontario Council on University Affairs on the Bachelor of Science (Honours Environmental Science) at Queen's University, "Information Pertaining to the Environmental Biology Option", October 29, 1992, p. 17.

The Committee notes that projected enrolment levels vary across the four proposed Environmental Science programs.

5. Co-operation with Other Post-Secondary Institutions

Co-operative arrangements were explored with St. Lawrence College and the Royal Military College, located in Kingston, which offer Environmental Engineering options in Civil Engineering. Preliminary discussions with both institutions revealed that such arrangements would not be appropriate at this time. Queen's University argues that there are no other institutions sufficiently close with which students could be exchanged in order to share courses. The University does indicate that as the Environmental Science programs become more established, links will be sought with agencies in the field.

6. Societal Need and Student Demand

Queen's University states that "[t]he relation of humans to our environment is the single greatest problem facing the world at present, and the importance of that problem will increase in future." Accordingly, the University believes that it is the obligation of universities to society to educate students on environmental matters.

Environmental scientists find employment in: government departments and agencies at the local, provincial and municipal levels; private practice, particularly environmental consulting firms; and for industry supplying the environmental market. The University states that an Honours BSc in Environmental Science prepares students for work in environmental monitoring programs, both in the field and laboratory, as well as in areas of management and policy.

Environmental Science (Environmental Biology) graduates may also continue their studies at the graduate level.²

Letters of support were received from numerous potential employers testifying to the need for graduates in environmental fields.³ Comments made by potential employers provide convincing evidence of the societal need for environmental scientists. For example, a Supervisor with the Ministry of the Environment states:

I feel that this program is very worthwhile, since it will give students the type of interdisciplinary background needed to cope with today's very complex environmental issues. Once in the workforce, graduates are often expected to deal with a wide variety of problems that are not restricted to one particular field of science. For problem resolution, a broad grounding in environmental sciences tempered with an understanding of political and economic realities is very valuable. This appears to be a course that provides this type of background i.e. a good mix of core science and environmental management knowledge.⁴

2. *Ibid.*, "Information Pertaining to the Overall Program", p. 7.

3. Letters of support were received from the following organizations: Environment Canada, O'Connor Associates Environmental Inc., multiVIEW Geoservices Inc., Petro-Canada Resources, Energy, Mines and Resources Canada, The Corporation of the City of Kingston, Gartner Lee (Professional Services in Environmental Management), Greggs & Associates Geological Consultants Ltd., AECL Research, Trent University, Ministry of the Environment, Ministry of the Environment (Province of British Columbia), Laidlaw Waste Systems Ltd., Rawson Academy of Aquatic Science, Mines and Resources Canada and the Regional Municipality of Waterloo.

4. Letter from Mr. Bill Keller, Supervisor, Special Studies, Ministry of the Environment, to Dr. William D. McCready, Dean, Faculty of Arts and Science, Queen's University, September 30, 1992.

Similarly, a Research Scientist at the National Water Research Institute recognizes the gap that skilled graduates of the Environmental Science (Environmental Biology) program will be filling:

I believe this is a worthwhile course which would produce undergraduates who would have indepth inter-disciplinary education and who could then be productive in work related to environmental issues and ecosystem health... I feel strongly that such a program is needed to produce knowledgeable young adults with strong background in chemistry, biology, materials sciences and computers. During my 23 years of experience in the environmental field, I have found rarely, individuals with such inter-disciplinary knowledge-bases who can be readily assigned tasks to conduct R&D, environmental sensing and/or impact assessment work. I am glad to see Queen's University is taking the initiative to educate and train students in this area. Therefore, I strongly support the application for provincial funding of this program.⁵

Student demand for the proposed program is expected to be strong. According to comments made by individuals wishing to enrol in the proposed Environmental Science programs, prospective students, with focused career aspirations in the field, demonstrate a strong interest in the program. As stated by one interested undergraduate Biology student:

Environmental Science is a vital area for students to be learning about at a time when experts and researchers are needed...

Environmental Science is offered at many other universities, and from talking to people on campus I have found that there is a great demand for the program to be started here. I am personally very interested in completing a degree in this field, and hope that I will not have to leave Queen's campus to do so.

I hope that the Environmental Science program is begun very soon, as it is greatly needed.⁶

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Environmental Science programs exist at Brock University, Carleton University, University of Guelph, Laurentian University, University of Toronto, Trent University, University of Waterloo and The University of Western Ontario.

Queen's University recognizes the existence of such other programs in the Ontario university system but argues that sufficient societal need and student demand exist to justify the existence of several programs. Specifically, Queen's University states:

...we estimate that there is sufficient demand for environmental scientists trained from a solid foundation in science that our program will not take potential

5. Letter from Mr. B.K. Afghan, Research Scientist, National Water Research Institute, Environment Canada, to Dr. W. McCready, Dean, Faculty of Arts and Science, Queen's University, October 20, 1992.

6. Letter commenting on the proposed Environmental Science programs at Queen's University from Ms. Joanna Brown, Queen's undergraduate Biology student, March 26, 1992.

enrolment in other programs, but rather will serve a growing need for postsecondary education in the field.⁷

This claim is substantiated by the Chancellor of Trent University who states:

I have long felt that Queen's University would be, and certainly is, an ideal place wherein to plant a BSc Honours Degree in Environmental Science. If Trent's experience is anything to go on, the students' response will be very strong. It is their perception which I share, that the demand for qualified graduates in the environmental field will remain strong in spite of the downturn in the economy.⁸

The Committee notes the existence of other Environmental Science programs currently operating in the Ontario university system. However, AAC concludes that duplication of existing programs in this area is justifiable given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Letters of support for the four Environmental Science programs have been received from the following organizations in the Kingston area: Office of the Mayor, the Corporation of the City of Kingston; Laidlaw Waste Systems Ltd.; and the Ministry of the Environment, Southeastern Region.

Comments received from the Council of Ontario Universities indicate that support for the proposed program exists within the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing program strengths in the Department of Biology. Queen's University indicates that in addition to a strong faculty and staff, labs in the Biology Department contain a large assortment of some of the most recent equipment used in Environmental Sciences. Also, the Queen's University Biological Station is used as a teaching facility and hosts a series of workshops and conferences relevant to Environmental Science. Furthermore, the Queen's biology library and the Fowler Herbarium provide important resources for the proposed program.

The Academic Advisory Committee is satisfied that this program is an appropriate development at Queen's University.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Science (Environmental Biology) at Queen's University be recommended as eligible for counting.

Academic Advisory Committee
February 12, 1993

7. Queen's University, Op. cit., "Information Pertaining to the Overall Program", p. 9.

8. Letter from Dr. F. Kenneth Hare, Chancellor, Trent University, to Dr. Wm. D. McCready, Dean, Faculty of Arts and Science, October 2, 1992.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Science (Environmental Chemistry) Honours BSc
Queen's University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On October 28 1992, Queen's University submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Science (Environmental Chemistry) to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed program is one of four new multidisciplinary Environmental Science programs being proposed by Queen's University. The Environmental Science (Environmental Chemistry) program provides a broad training in Science and in Environmental Science, while maintaining a strong emphasis in Chemistry. Sixteen and one-half of the 20 courses required for this degree are specified under the program requirements. Accordingly, the proposed program is described as "a highly-defined and challenging program that is directed toward proficient and well-motivated students."¹ The University indicates that graduates of the program will be trained chemists with additional broad training in environmental science. Two new interdisciplinary and four new Chemistry half courses have been created in order to offer this program.

2. Academic Quality

The program was approved by the Senate of Queen's University on May 28, 1992.

3. Financial Viability

The Committee notes that the resources necessary to support the program, on a long-term basis, are already in place. The approval by the Board of Governors was not required.

The Committee notes that funds for the development of the two new Environmental Science courses (ENSC 300 and ENSC 400) were obtained from the Principal's Development Fund.

4. Projected Enrolment

Queen's University indicates that 16 students are currently enrolled in the proposed Environmental Science (Environmental Chemistry) program. It is projected that a year-one

1. Queen's University, Brief to The Ontario Council on University Affairs on the Bachelor of Science (Honours Environmental Science) at Queen's University, "Information Pertaining to the Environmental Chemistry (ENSC CHEM) Option", October 29, 1992, p. 22.

intake level of 20 students will be reached in 1995-96. The program is expected to reach a steady-state total enrolment level of approximately 80 students in the same year.

The Committee notes that projected enrolment levels vary across the four proposed Environmental Science programs.

5. Co-operation with Other Post-Secondary Institutions

Co-operative arrangements were explored with St. Lawrence College and the Royal Military College, located in Kingston, which offer Environmental Engineering options in Civil Engineering. Preliminary discussions, with both institutions, revealed that such arrangements would not be appropriate at this time. Queen's University argues that there are no other institutions sufficiently close with which students could be exchanged in order to share courses. The University does indicate that as the Environmental Science programs become more established, links will be sought with agencies in the field.

6. Societal Need and Student Demand

Queen's University states that "[t]he relation of humans to our environment is the single greatest problem facing the world at present, and the importance of that problem will increase in future."² Accordingly, the University believes that it is the obligation of universities to society to educate students on environmental matters.

Environmental Science (Environmental Chemistry) graduates are expected to find careers within four areas: in industry, which requires well-trained environmental chemists to carry out monitoring programs and ensure compliance with regulations; in government departments, which require qualified environmental chemists to carry out monitoring protocols and establish and enforce regulations; in environmental consulting firms, which require environmental chemists to be members of multidisciplinary teams examining environmental issues; and in environmental research organizations, which require individuals with high standing who are interested in pursuing postgraduate research studies. The University recognizes that economic constraints will place limitations on the number of persons who can be employed in environmental fields. However, it is argued that there will be a continuing need for qualified graduates in the above areas.

Environmental Science (Environmental Chemistry) graduates may also continue their studies at the graduate level.

Letters of support were received from numerous potential employers testifying to the need for graduates in environmental fields.³ Comments made by potential employers provide convincing evidence of the societal need for environmental chemists. For example, a Chemistry Specialist at Petro-Canada Resources states:

This new proposal by Queen's is a very positive step towards an effective integrated environmental program. From my perspective as a chemist with a heavy involvement in issues such as global warming, it is easy to support this program...

2. Ibid., "Information Pertaining to the Overall Program", p. 7.

3. Letters of support were received from the following organizations: Environment Canada, O'Connor Associates Environmental Inc., multiVIEW Geoservices Inc., Petro-Canada Resources, Energy, Mines and Resources Canada, The Corporation of the City of Kingston, Gartner Lee (Professional Services in Environmental Management), Greggs & Associates Geological Consultants Ltd., AECL Research, Trent University, Ministry of the Environment, Ministry of the Environment (Province of British Columbia), Laidlaw Waste Systems Ltd., Rawson Academy of Aquatic Science, Mines and Resources Canada and the Regional Municipality of Waterloo.

The question of jobs for students from such a program is difficult to answer: there is no doubt that there is much work to be done, but in these difficult economic times society faces real challenges in allocating the necessary resources. Nonetheless, graduates of such a program, whether they end up in industry dependent on their specialization or in the environmental industry per se or in a non-technical career, will be well positioned to understand and contribute to the solution of the complex and multi-disciplinary questions which surround environmental issues.⁴

Similarly the "urgent need" for graduates with such skills is described, for example, by a Branch Manager of AECL Research:

My comments are focused on the Environmental Chemistry program in particular...

There is no doubt in my mind that there is a well-defined and urgent need for an Environmental Sciences program. Environmental concerns and problems are realities that must be dealt with...

The strong emphasis on Analytical Chemistry in the Environmental Chemistry course is entirely appropriate and commendable. Acquiring valid and accurate analytical results is not a trivial exercise under the best conditions, but the complexities on environmental samples makes this an even more daunting and challenging task. Recognizing and understanding the limitations and meaning of analytical results are prerequisites to making scientifically sound, practical environmental decisions. This program will make significant contributions and improvements in this vital area.⁵

Student demand for the proposed program is expected to be strong. According to comments made by individuals wishing to enrol in the proposed Environmental Science programs, prospective students with focused career aspirations in the field demonstrate a strong interest in the program. For example, when asked to indicate expectations regarding the proposed program, one entering student had the following comments:

I look forward to being on the cutting edge of research and discovery within this field. I hope ... this program will lead to many career possibilities.⁶

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Environmental Science programs exist at Brock University, Carleton University, University of Guelph, Laurentian University, University of Toronto, Trent University, University of Waterloo and The University of Western Ontario.

4. Letter from Mr. Peter Bulkowski, Chemistry Specialist, Petro-Canada Resources, to Dr. W. McCready, Dean, Faculty of Arts and Science, Queen's University, October 13, 1992.

5. Letter from Mr. J. Gulens, Branch Manager, Chemistry Division, AECL Research, to Dr. W. McCready, Dean, Faculty of Arts and Science, Queen's University, October 16, 1992.

6. Queen's University, *Op. cit.*, p. 7.

Queen's University recognizes the existence of such other programs in the Ontario university system but argues that sufficient societal need and student demand exist to justify the existence of several programs. Specifically, Queens University states:

...we estimate that there is sufficient demand for environmental scientists trained from a solid foundation in science that our program will not take potential enrolment in other programs, but rather will serve a growing need for postsecondary education in the field.⁷

This claim is substantiated by the Chancellor of Trent University who states:

I have long felt that Queen's University would be, and certainly is, an ideal place wherein to plant a BSc Honours Degree in Environmental Science. If Trent's experience is anything to go on, the students' response will be very strong. It is their perception, which I share, that the demand for qualified graduates in the environmental field will remain strong in spite of the downturn in the economy.⁸

The Committee notes the existence of other similar programs but concludes that any duplication of existing programs, at other universities in Ontario, is justifiable given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Letters of support for the four Environmental Science programs have been received from the following organizations in the Kingston area: Office of the Mayor, the Corporation of the City of Kingston; Laidlaw Waste Systems Ltd.; and the Ministry of the Environment, Southeastern Region.

Comments received from the Council of Ontario Universities indicate that support for the proposed program exists within the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon well-established research interests in various areas of Environmental Chemistry. These include: the Chemistry and Environmental Consequences of Power Generation Technologies; Environmental Toxicology; Catalytic Processes for Flue-Gas Clean-up; Trace Metal Monitoring; Migration of Chemicals from Dump Sites; and Water and Wastewater Treatment Chemistry. The University indicates that the department is well-equipped with facilities for research in these areas. In particular, the Analytical Services Unit provides instrumentation and expertise in support of environmental teaching and research. Undergraduate courses in Chemistry have their own laboratories, technical support and data-processing facilities needed for basic experimental work in many fields of Environmental Chemistry, and make extensive use of some of the research equipment.

The Academic Advisory Committee is satisfied that this program is an appropriate development at Queen's University.

7. Queen's University, *Op. cit.*, p. 9.

8. Letter from Dr. F. Kenneth Hare, Chancellor, Trent University, to Dr. Wm. D. McCready, Dean, Faculty of Arts and Science, October 2, 1992.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Science (Environmental Chemistry) at Queen's University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

Appendix S

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Science (Environmental Geology) Honours BSc
Queen's University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On October 28, 1992, Queen's University submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Science (Environmental Geology) to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed program is one of four new multidisciplinary Environmental Science programs being proposed by Queen's University. The Environmental Science (Environmental Geology) program includes a core of basic courses in Biological and Physical Sciences and Mathematics as well as specialized study in Geology. The proposed program combines the breadth and the integrated approach needed to understand complex problems of the environment with specialized knowledge in the field of Geology. Graduates are provided with the level of expertise necessary to function as environmental scientists.¹ Sixteen and one-half of the 20 courses required for the degree are specified under the program requirements. Two new interdisciplinary and three new Geology half-courses have been created in order to offer this program.

2. Academic Quality

The program was approved by the Senate of Queen's University on May 28, 1992.

3. Financial Viability

The Committee notes that the resources necessary to support the program on a long-term basis are already in place. Approval by the Board of Governors was not required.

The Committee notes that funds for the development of the two new Environmental Science courses (ENSC 300 and ENSC 400) were obtained from the Principal's Development Fund.

4. Projected Enrolment

Queen's University indicates that seven students are currently enrolled in the proposed Environmental Science (Environmental Geology) program. It is projected that a year-one intake

1. Queen's University, Brief to The Ontario Council on University Affairs on the Bachelor of Science (Honours Environmental Science) at Queen's University, "Introduction", October 29, 1992, p. 2.

level of 20 students will be reached in 1995-96. The program is expected to reach a steady-state total enrolment level of approximately 80 students in 1995-96.

The Committee notes that projected enrolment levels vary across the four proposed Environmental Science programs.

5. Co-operation with Other Post-Secondary Institutions

Co-operative arrangements were explored with St. Lawrence College and the Royal Military College, located in Kingston, which offer Environmental Engineering options in Civil Engineering. Preliminary discussions, with both institutions, revealed that such arrangements would not be appropriate at this time. The University does indicate that as the Environmental Science programs become more established, links will be sought with agencies in the field.

6. Societal Need and Student Demand

Queen's University states that "[t]he relation of humans to our environment is the single greatest problem facing the world at present, and the importance of that problem will increase in future."² Accordingly, the University believes that it is the obligation of universities to society to educate students on environmental matters. The University also indicates that given the increased government regulation of the natural environment and the growth in public and industry awareness of environmental issues, there is "an accumulating requirement for committed and rigorously-trained scientific personnel to carry out these vital tasks."³

Environmental scientists find employment in government departments and agencies at the local, provincial and municipal levels; in private practice, particularly environmental consulting firms; and in the industry supplying the environmental market. The University states that an Honours BSc in Environmental Science prepares students for work in environmental monitoring programs, both in the field and laboratory, as well as in areas of management and policy.

Environmental Science (Environmental Geology) graduates are uniquely trained to consider environmental effects in various time frames. For example, graduates will possess skills enabling them to deal with short-term environmental emergencies or make medium to long-range planning projections which aim to avoid future environmental crises. Environmental Geology graduates are expected to find careers studying, analyzing, monitoring, planning or managing the following specific environmental concerns:

- solid wastes, both those above ground and in the subsurface, from rural, urban and industrial sources;
- liquid wastes, both those above ground and in the subsurface, from rural, urban and industrial sources;
- the decommissioning of industrial sites;
- mines and mine-mill wastes, in both their physical and chemical pollution potential;
- groundwater supply and flow in glacial sediments and in various types of bedrock, i.e., in both their natural and society-induced conditions;

2. Ibid., "Information Pertaining to the Overall Program", p. 7.

3. Ibid., "Information Pertaining to the Environmental Geology (ENSC GEOL) Option", p. 28.

- the effects of extraction and re-location of sands, gravel and stone, whether natural or re-cycled materials;
- the variety of ever-changing natural environments and their ability to absorb society-induced change, e.g., coastline, river valleys limestone karst terrains, etc.⁴

Environmental Science (Environmental Geology) graduates may also continue their studies at the graduate level.

Letters of support were received from numerous potential employers testifying to the need for graduates in environmental fields.⁵ Comments made by potential employers provide convincing evidence of the societal need for Environmental Scientists. For example, a Supervisor with the Ministry of Environment states:

I feel that this program is very worthwhile, since it will give students the type of interdisciplinary background needed to cope with today's very complex environmental issues. Once in the workforce, graduates are often expected to deal with a wide variety of problems that are not restricted to one particular field of science. For problem resolution, a broad grounding in environmental sciences tempered with an understanding of political and economic realities is very valuable. This appears to be a course that provides this type of background i.e. a good mix of core science and environmental management knowledge.⁶

Similarly, an environmental engineer from one consulting firm recognizes the particular societal need for environmental geologists:

From our perspective, the proposed Environmental Science program at Queen's has the potential to provide a marketable level of training for young scientists wishing to work in the field of environmental science. We view the proposed Environmental Geology program with particular interest, since it appears to offer training most relevant to our prime areas of expertise.⁷

Student demand for the proposed program is expected to be strong. Enrolment figures between 1988 and 1995 indicate that there has been an increasing demand for integrative programs in the Geological Sciences, as well as an increasingly strong student demand for rigorous study of the environment by students studying Geological Engineering. The University

4. *Ibid.*, p. 29.

5. Letters of support were received from the following organizations: Environment Canada, O'Connor Associates Environmental Inc., multiVIEW Geoservices Inc., Petro-Canada Resources, Energy, Mines and Resources Canada, The Corporation of the City of Kingston, Gartner Lee (Professional Services in Environmental Management), Greggs & Associates Geological Consultants Ltd., AECL Research, Trent University, Ministry of the Environment, Ministry of the Environment (Province of British Columbia), Laidlaw Waste Systems Ltd., Rawson Academy of Aquatic Science, and Mines and Resources Canada.

6. Letter from Mr. Bill Keller, Supervisor, Special Studies, Ministry of the Environment, to Dr. William D. McCready, Dean, Faculty of Arts and Science, Queen's University, September 30, 1992.

7. Letter from Mr. M. Allan, O'Connor Associates Environmental Inc., to Dr. W. McCready, Dean, Faculty of Arts & Science, Queen's University, October 16, 1992.

indicates that it expects this program will meet the demands of students whose interests would otherwise not be met.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Environmental Science programs exist at Brock University, Carleton University, University of Guelph, Laurentian University, University of Toronto, Trent University, University of Waterloo and The University of Western Ontario.

Queen's University recognizes the existence of such other programs in the Ontario university system but argues that sufficient societal need and student demand exist to justify the existence of several programs. Specifically, Queens University states:

...we estimate that there is sufficient demand for environmental scientists trained from a solid foundation in science that our program will not take potential enrolment in other programs, but rather will serve a growing need for postsecondary education in the field.⁸

This claim is substantiated by the Chancellor of Trent University who states:

I have long felt that Queen's University would be, and certainly is, an ideal place wherein to plant a BSc Honours Degree in Environmental Science. If Trent's experience is anything to go on, the students' response will be very strong. It is their perception, which I share, that the demand for qualified graduates in the environmental field will remain strong in spite of the downturn in the economy.⁹

The Committee notes the existence of other Environmental Science programs currently operating in the Ontario university system. However, AAC concludes that duplication of existing programs is justifiable in this area given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Letters of support for the four Environmental Science programs have been received from the following organizations in the Kingston area: Office of the Mayor, the Corporation of the City of Kingston; Laidlaw Waste Systems Ltd.; and the Ministry of the Environment, Southeastern Region.

Comments received from the Council of Ontario Universities indicate that support for the proposed program exists within the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing program strengths in the Department of Geology. A variety of analytical facilities are available to support the proposed program. These include The Hawley Analytical Laboratories and the XRF and XRD facilities. As well, the

8. Queen's University, Op. cit., "Information Pertaining to the Overall Program", p. 9.

9. Letter from Dr. F. Kenneth Hare, Chancellor, Trent University, to Dr. Wm. D. McCready, Dean, Faculty of Arts and Science, October 2, 1992.

Department is well-equipped with computing and library facilities including the Lindsley Memorial Geology Library.

The Academic Advisory Committee is satisfied that this program is an appropriate development at Queen's University.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Science (Environmental Geology) at Queen's University be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Science (Honours BSc)
University of Waterloo**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On October 29, 1992, the University of Waterloo submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Science to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed Honours Bachelor of Science program in Environmental Science combines the traditional science areas of Biology, Chemistry, Earth Science and Physics with studies in Geography, Law, Engineering and Mathematics. The program provides graduates with a fundamental science background and an introduction to the engineering and social information needed to understand environmental problems. Students can choose to concentrate on subjects of particular interest, or to study a range of appropriate science-related topics. Two streams are available to students enrolled in the program. Program 1 includes a selection of courses with a Biology and Chemistry focus. A choice of a basic program and three additional specific theme choices are offered under Program 1. Program 2 includes a selection of courses with an Atmospheric Science focus.

The University has assured Council that it has, in hand, the requisite resources necessary to maintain the program for a reasonable period of time.

The Committee notes that the Environmental Science program has been in place since September, 1990.

2. Academic Quality

The program was approved by the Senate of the University of Waterloo on June 18, 1990.

3. Financial Viability

The University of Waterloo states that the financial viability of the program has been demonstrated through the program's operation without additional funding for two academic years. The University has assured Council that it has, in hand, the requisite resources to maintain these programs for a reasonable period of time.

4. Projected Enrolment

The University indicates that in 1990-91 the year-one intake level for the proposed program was six students. The program is expected to reach a steady-state total enrolment level of between 70 to 80 students by 1994-95.

5. Co-operation with Other Post-Secondary Institutions

The University of Waterloo indicates that the proposed program is being offered "without recourse to any other institutions resources".¹ However, the University also indicates that the possibility of using the new Guelph-Waterloo video classroom link for shared courses will be explored further in the future. The Acting Associate Vice-President, Academic, at the University of Guelph noted the benefits of such co-operative arrangements in the following statement:

Since both the Guelph and Waterloo programs are new there has been little inter-institutional co-operation to date. However, given the close proximity of the two institutions, the new video classroom link and the established complementary nature of many aspects of our respective environmental programs, the opportunities for developing co-operation -- particularly for upper-level specialized/shared courses -- are great.²

The Committee noted the strong possibility of future joint arrangements between these two institutions.

6. Societal Need and Student Demand

The University of Waterloo argues that there is a need in society for university graduates with a good grounding in the basic sciences and an awareness of environmental problems, concerns and sensitivities, who can address environmental problems from a scientific rather than from an activist or engineering point of view.³ The University further argues that graduates of the proposed program are needed at a local, national and global level and that the need is long-term.

Graduates are expected to find employment in a variety of environmentally-related fields. Program 1 graduates may seek employment in industry, government, education and consulting services in the areas of Environmental Impact Assessment, Ecological Analysis and Planning. Program 2 graduates are seen to be better suited for employment with power companies, mining and oil industries, the automobile industry, and government regulatory agencies.⁴

Letters were received from a variety of potential employers commenting on the program.⁵ Comments made by specific individuals, employed in environmental science fields, substantiate the claims made by the University of Waterloo regarding the societal need for graduates. For example, a Senior Research Scientist at the Ministry of Environment recognizes the "education gap" that the proposed program will be filling and the urgent need for graduates with the above described skills:

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1. University of Waterloo, Submission to OCUA for Funding Eligibility: Honours Environmental Science, October 29, 1992, p. 2.
 2. Letter from Ms. Tammy M. Bray, Acting Associate Vice-President, Academic, University of Guelph, to Mr. Colin Graham, Interim Chair, Ontario Council on University Affairs, October 20, 1992.
 3. Op. cit., p. 2.
 4. University of Waterloo, Faculty of Science: Environmental Science, January, 1991.
 5. Letters were received from the following: Ministry of the Environment, Zenon Environmental Inc., Ecologistics, Ltd., Gartner Lee: Professional Services in Environmental Management, Environmental Assessment Board, Beak Consultant Ltd., Environment Canada, Cantox Inc.: Consultants in Toxicology, Health and Environmental Sciences, McNeil Consumer Products Company, and Industrial Society: Environmental Co-operative.

In ten years with the Ontario Ministry of the Environment, I have personally interviewed more than 50 graduates for jobs, and although many of the positions were specialized, I was amazed at how little environmental science was known by the applicants. It was obvious that our colleges and universities were not providing the needed education in this area. Your proposed program addresses this education gap. The strong need for this program will exist for at least the next 10-20 years, and the need is Canada-wide.⁶

The President of one consulting firm comments on the growing need for "competent specialists" in the area of environmental planning and assessment:

As practitioners in the area of environmental planning and impact assessment we find that the projects we must deal with are becoming increasingly complex technologically while the demands for greater sophistication in impact prediction are escalating rapidly.

To be able to effectively meet these demands now and in the foreseeable future, firms such as ours need staff who have a solid rooting in the sciences related to environmental management. As a consulting firm we can generally develop generalists from competent specialists, but not the reverse...

If firms such as ours are able to employ science graduates who have exposure in their academic program to practical aspects and difficulties of environmental management, our ability to be productive and competitive is greatly enhanced.⁷

Student demand for the proposed program has been strong since the first students were admitted into the program in September, 1990, and is expected to continue to be strong in the future. During the 1991-92 academic year, the University of Waterloo received over 400 requests for information regarding the new Environmental Science program. Furthermore, applications were received from over 200 students seeking entry into approximately 20 available year-one student places for September, 1992.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Environmental Science programs exist at Brock University, Carleton University, University of Guelph, Laurentian University, University of Toronto, Trent University, University of Waterloo and The University of Western Ontario. The University does recognize that there are other similar Environmental Science programs in the system. However, it is argued that sufficient societal need and student demand exist to justify the existence of several Environmental Science programs across the province. In commenting on the University of Waterloo's program, the Acting Associate Vice-President, Academic, at the University of Guelph states:

6. Letter from Mr. R. E. Clement, Senior Research Scientist, Ministry of the Environment, to Dr. John E. Thompson, Dean of Science, University of Waterloo, June 30, 1992.

7. Letter from Mr. David R. Cressman, President, Ecologistics Ltd., to Dr. John E. Thompson, Dean of Science, University of Waterloo, July 6, 1992.

As one of several "environmental science" programs currently emerging from Ontario universities, the University of Waterloo proposal should perhaps be seen as one of several alternative models to environmental education rather than one which duplicates any existing program. Given very obvious strong student demand for environmental science programs (Guelph had 475 applicants for 150 places in 1992) and the critical industry and government demand for environmental science (cf. environmental studies) graduates, the projected intake of twenty students per year will hardly satisfy demand in any way at the provincial level.⁸

The Committee notes the existence of other Environmental Science programs currently operating in the Ontario university system as well as the proposal from Queen's University for four Environmental Science programs. However, AAC concludes that duplication of existing programs is justifiable in this area, given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Several letters were received from government departments, consulting firms and industries in southern Ontario indicating support for the proposed program.⁹ As well, the comments received from the Lambton Industrial Society, a Sarnia-based environmental co-operative, indicate that specific support exists for an environmental science program which addresses vital environmental concerns in the Great Lakes region:

Southwestern Ontario shares a number of global scale problems with the rest of the world, in addition to its specific regional issues. Persistent, bioaccumulative toxic chemicals have been identified as a priority problem in the Great Lakes region, requiring strict source controls, alternative technologies, and large scale remediation of contaminated sediments...

Creation of a quality undergraduate environmental science program at the University of Waterloo would be a welcome addition to the environmentally-based programs currently offered at Waterloo...

The University of Waterloo has all of the elements necessary to provide undergraduates that ideal opportunity, and our community with uniquely qualified environmental scientists.¹⁰

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8. Ms. Tammy M. Bray, Acting Associate Vice-President, Academic, University of Guelph, to Mr. Colin Graham, Interim Chair, Ontario Council on University Affairs, October 20, 1992.
 9. Letters of support were received from the following organizations in the Waterloo area: Zenon Environmental Inc., located in Burlington; Ecologistics Ltd., located in Waterloo; Beak Consultants Ltd., located in Burlington; and McNeil Consumer Products Company, located in Guelph. Letters of support were received from the following organizations in the Toronto area: Ministry of the Environment, Laboratory Services Branch, located in Rexdale; Gartner Lee: Professional Services in Environmental Management, located in Markham; Environmental Assessment Board, located in Toronto; Environment Canada, Atmospheric Environment Service, located in Downsview; and Cantox Inc., located in Mississauga.
 10. Letter from Mr. Scott Munro, Industrial Society: An Environmental Co-operative, to Dr. J. E. Thompson, Dean of Science, University of Waterloo, July 20, 1992.

Comments received from the Council of Ontario Universities indicate that support for the proposed program exists within the Ontario university system.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing program strengths and resources drawn from the existing faculties of Engineering, Science and Environmental Studies. The University indicates that "about 15% of the University of Waterloo's \$60 million research budget is directed towards environmental concerns."¹¹ The Institute of Groundwater Research at the University of Waterloo has received international recognition. It supports active environmental research programs for faculty who can in turn incorporate such expertise into related undergraduate courses.

The Academic Advisory Committee is satisfied that this program is an appropriate development at the University of Waterloo.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Science at the University of Waterloo be recommended as eligible for counting.

Academic Advisory Committee

February 12, 1993

11. University of Waterloo, Op. cit., p. 3.

93-III Review of the Distribution Mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope

1.0 Introduction

The Enhanced Accessibility for Students with Disabilities Funding Envelope has been distributed to university-level institutions since 1989-90, based on institutional shares of Base BIUs.¹ In its advice to the Minister on the 1992-93 operating grant allocations, Council recommended a review of the effectiveness of the current distribution mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope, noting that:

...this envelope has been in place since 1989-90. Some of the circumstances which were then relevant to the recommended distribution mechanism might have changed since Government accepted Advisory Memorandum 88-IX.²

The Minister responded to Council's recommendation by requesting that Council co-ordinate such a review.³ Council provided a summary of its review of the distribution mechanism for this funding envelope and recommended on the distribution of funds for this envelope in its 1993-94 allocative advice, Advisory Memorandum 92-XI⁴. The purpose of this Advisory Memorandum is to provide the basis for Council's recommendations with respect to the distribution of the Enhanced Accessibility for Students with Disabilities Funding Envelope and to identify important outstanding issues which, if addressed, could enhance the coordination of service delivery to students with disabilities.

Council's review of the distribution mechanism for this envelope was conducted in consultation with the institutions and other organizations with an interest in the issues affecting university-level students with disabilities. Council recommends that, for the next few years, the distribution mechanism be changed from a BIU-based to an FTE-based distribution mechanism. Council recommends that further study is required before consideration is given to basing the distribution mechanism on the number of students with disabilities and/or services to students. Therefore Council recommends that the FTE-based distribution mechanism be adopted for an interim period of two years commencing 1993-94, and that during this period Council conduct a review to determine the feasibility of basing the distribution mechanism, in some manner, on the number of and/or services to students with disabilities.

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1. Base BIUs are the average of an institution's eligible enrolments weighted by program and level of study in 1983-84, 1984-85 and 1985-86. The only exception is the Ontario College of Art whose Base BIUs were adjusted downwards by 83 BIUs in 1990-91. See "Advisory Memorandum 90-I, Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Corridor Negotiations", Seventeenth Annual Report, 1990-91, p. 56.
 2. Ontario Council on University Affairs, "Advisory Memorandum 91-XII, The Allocation of Government's Operating Support for the University System in 1992-93", Eighteenth Annual Report, p. 287.
 3. Letter from the Honourable Richard Allen, Minister of Colleges and Universities, to Dr. H.V. Nelles, Chairman, Ontario Council on University Affairs, received March 31, 1992, p. 3.
 4. Ontario Council on University Affairs, Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94.

Section 2 of this Advisory Memorandum provides background on the established policy basis for this envelope and the current review; Section 3 provides a discussion of what Council heard during the course of its review and the basis for Council's recommended change in the distribution mechanism; and Section 4 identifies outstanding issues, beyond the scope of this review, that have important consequences if Government seeks to ensure continuity in the various programs and funding designed to meet the needs of students with disabilities.

2.0 Context for the Enhanced Accessibility for Students with Disabilities Funding Envelope

In 1988, the Minister of Colleges and Universities requested Council's advice on "...programs to promote access for the under-represented groups", and announced \$4.0 million in funding for that purpose.⁵ Given the scope of that request and the funds available, Council undertook consultations with the institutions. On the basis of these consultations, Council recommended that to focus these funds exclusively on enhancing access for students with disabilities, "...could make a significant impact on the improvement of accessibility [for students with disabilities]."⁶ Thus this envelope was established in the 1989-90 funding year to assist institutions to enhance accessibility for students with disabilities.

The established policy on which these operating grants are distributed is based on Council's recommendations, as contained in Advisory Memorandum 88-IX,⁷ which was accepted by the Minister, as well as the findings of the Wesley Report⁸. Council recommended that the expenditures eligible to be funded through this envelope include, but not be limited to, the following:

- staffing and overhead support for offices for students with special needs;
- general program support - for example, the costs of the design and implementation of a volunteer service and the purchase or design of assessment packages;
- equipment and technology including both the acquisition and maintenance of Braille printers, TDD telephones, FM hearing equipment for lectures, tactile signage and other devices, digital audio readers and other devices;
- attendant care on a limited basis;
- operating training sessions for all segments of the university community to raise awareness of needs of disabled;
- computer print-out captioning for lecture material;

5. Letter from the Honourable L. McLeod, Minister of Colleges and Universities, to Dr. P. Fox, April 20, 1988.

6. Ontario Council on University Affairs, "Advisory Memorandum 88-IX, Enhancing Access for Disabled Students to Ontario Universities", Fifteenth Annual Report 1988-89, pp. 129-141.

7. Ibid.

8. Dr. Patrick Wesley, Access for Disabled Persons to Ontario Universities. A Report for the Ontario Council on University Affairs, April, 1988.

- improving library systems for improved inter-library loan service and better access to tapes and brailled publications; and,
- orientation programs to assist disabled students to accommodate to university life.⁹

Up to and including the 1992-93 funding year, this funding envelope was distributed based on Council's recommendations as contained in Advisory Memorandum 88-IX, with the annual and ongoing allocation to universities based on each institution's share of Base BIUs.¹⁰ A minimum floor of \$90,000 has been provided to each institution since 1991-92¹¹, up from the original floor of \$30,000 established in 1989-90.

As noted above, this envelope has undergone a modification to its floor provision to better ensure that service delivery is facilitated for students with disabilities at all institutions. Indeed, the broader Government policy with respect to persons with disabilities has also undergone change over the recent past by focusing increasingly on issues of service provision in relation to specific disabilities. However, the cornerstone of Government policy with respect to providing service to persons with disabilities is enshrined in the Ontario Human Rights Code.

The accommodation of persons with disabilities is formally based in the Code, in particular, Sections 1, 11 and 17. Part 1, Section 1, Chapter H.19 is cited below:

Every person has a right to equal treatment with respect to services, goods and facilities, without discrimination because of race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, sex, sexual orientation, age, marital status, family status or handicap.¹²

Based on the Code, university-level institutions have had a legal obligation that predates the funding envelope, Enhanced Accessibility for Students with Disabilities, to accommodate students with disabilities. The envelope, by itself, was not intended to fully offset this obligation by serving as the sole funding source for the provision of services unique to the pursuit of university studies by students with disabilities. While it was clear from Council's review that several institutions fund services for students with disabilities from other funding sources in addition to this envelope, it was also apparent that some institutions consider that their responsibility, with respect to funding services for students with disabilities, is confined to the resources made available to their institution through this envelope. However, the institutional obligation to provide such services extends across a broad range of income, including this funding envelope, available to the institutions.

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9. Ontario Council on University Affairs, "Advisory Memorandum 88-IX, Enhancing Access for Disabled Students to Ontario Universities", Fifteenth Annual Report 1988-89, pp. 137-138.
 10. Since the direct application of the Base BIU formula results in allocations of less than a minimal size considered necessary to establish at each and every institution an office for disabled issues, Council also recommended a floor provision which was accepted by the Minister. Accordingly, a minimum floor of \$30,000 was to be allocated to each institution whose share of Base BIUs otherwise entitled their institution to an allocation of less than \$30,000. This was raised to \$90,000 in 1991-92.
 11. In 1991-92, the Minister requested that Council reconsider the appropriateness of the minimum floor. As a result of Council's review, it found that the floor was inadequate and recommended an increase to \$90,000 per institution for 1991-92 and beyond. (See Ontario Council on University Affairs, "Advisory Memorandum 91-1, The Allocation of the Government's Operating Support for the University System in 1991-92", Eighteenth Annual Report, p. 28.)
 12. Ontario Human Rights Code, Part 1, Section 1, Chapter H.19. Sections 11 and 17 of Part 1, Chapter H.19, are reproduced in Appendix A.

3.0 Distribution Mechanism

Council initiated its current review of the effectiveness of the existing distribution mechanism for this envelope, with a letter from the Interim Chair of Council to each of the provincially-assisted institutions, as well as the Office for Disability Issues (ODI) and other organizations with an interest in disability issues, as they specifically pertain to enhancing access for students with disabilities to university-level studies.¹³ Council raised questions relating to:

- the distribution mechanism;
- the appropriateness of the current floor provision of \$90,000 to each institution;
- other activities and expenditures that should be considered for eligibility;
- capital funding pressures involving access to students with disabilities;
- the possibility of some degree of specialization in service provision;
- the current accountability procedure;
- unspent funds at fiscal year-end;
- student identification;
- the internal mechanism for student evaluation of service provided;
- assessing numbers of students served by special needs offices; and,
- specific issues regarding Francophone students with disabilities and students in the North.¹⁴

Council also made the review of this envelope a part of its 1992 Fall hearings. Issues pertaining to Council's review of this envelope were discussed with each of the organizations participating in the hearings. What Council heard in its hearings, and learned from the written responses to Council's letter which initiated the review, are discussed below. In addition to receiving specific responses to the questions raised, Council heard there are complex and interrelated issues. The breadth of these issues are well beyond the original scope of Council's review of the effectiveness of a distribution mechanism based on weighted enrolments. These issues need to be addressed in order to continue reducing access barriers to university-level study for students with disabilities.

Generally, Council found the envelope has been quite successful in assisting institutions to increase access for students with disabilities. One measure of the success of this envelope has been the increase in the number of students making use of the services offered by the special needs offices that have been supported with funding from this envelope. The statistics available indicate that the reported number of students served by these offices has increased from approximately 1,800 in 1989-90 to over 4,000 in 1991-92,¹⁵ which represents an increase well in excess of 100% over this period (see Appendix A, Table 1).

Since Council's review focused primarily on the effectiveness of the distribution mechanism for this envelope, it asked:

13. Letters from Colin Graham, Interim Chair, Ontario Council on University Affairs, to Executive Heads of provincially-assisted universities, the Ontario Institute for Studies in Education, Ryerson Polytechnical Institute, the Ontario College of Art and Dominican College, the Advisory Committee on Francophone Affairs (ACFA), Council of Ontario University Staff Associations (COUSA), Council of Ontario Universities (COU), Inter-University Disabled Issues Association (IDIA), National Education Association for Disabled Students (NEADS), Ontario Confederation of University Faculty Association (OCUFA), and Ontario Federation of Students (OFS), July 10, 1992.

14. *Ibid.*, pp. 2-3.

15. These unaudited statistics were provided by the institutions.

Should the funds continue to be distributed in proportion to share of total BIUs [Current Base BIUs]? Alternatively, should funds be distributed on a project competition basis, by some other form of formulaic allocation (e.g., by level of services provided or numbers of identified students with disabilities) or by some combination of the above alternatives?¹⁶

...and if the minimum grant of \$90,000 to each institution is appropriate.¹⁷

From both the written responses to Council's letter and the discussions held with institutions in the Fall hearings, Council found that there is a need for change. The need for change is linked closely to the success of this envelope in assisting universities to enhance access to university-level education for students with disabilities. Special needs offices have increased student awareness about the benefits of their services, and apprehension about self-identification has abated somewhat as evidenced by the significant increase in the number of users over the period that this funding envelope has been in place. The provision of this funding, over this period, has enabled institutions to acquire and improve the infrastructure that is required to serve more students with different types of disabilities, and thereby facilitated the increase in the number of students served.

The distributional options proposed to Council were:

- to adjust corridor limits and to provide undiscounted funding for increases in target underrepresented groups;¹⁸
- to relate grants above a minimum level to the number of students with disabilities on campus and to the level of assistance that they require;¹⁹
- to distribute funds on a project competition basis and by level of services²⁰; or to undertake some projects on a co-operative or competitive basis;²¹

16. Letter from Colin Graham, Interim Chair, Ontario Council on University Affairs, to the Executive Heads of the provincially-assisted institutions, July 10, 1992, p. 2.

17. Ibid.

18. Letter from Dr. J.D. Lawson, President, Algoma College, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 31, 1992.

19. Letter from Susan M. Clark, Vice-President, Academic, Brock University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 24, 1992, p. 1. The argument for this distribution mechanism was identified with the special needs office establishing what might be considered its normal client and service load. OCUA Special Needs Survey: Trent University Response, under cover letter from Dr. J.O. Stubbs, President, Trent University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 18, 1992.

20. Letter from Dr. Robin H. Farquhar, President, Carleton University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 14, 1992, pp 1-2.

21. Queen's University at Kingston Response to the Ontario Council on University Affairs Letter of July 10, 1992, Enhancing Access for Disabled Students, p. 1, under cover letter from Dr. David Smith, Principal and Vice-Chancellor, Queen's University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 19, 1992. The project competition basis proposed here was over and above the BIU basis for distribution.

- to establish a ceiling for larger universities;²²
- to maintain the BIU formula;²³ or to provide a base for all institutions plus a distribution based on share of BIUs;
- to establish an unweighted head-count or Full-Time Equivalent (FTE) student basis for distribution²⁴, for example, the University of Toronto in its written submission to Council stated that "We continue to believe that there should be a minimum grant per institution, but that the major portion of the funding should be based on enrolment. ... we believe that the allocation formula for this portion should be based on the sum of full-time and part-time enrolments.",²⁵

22. Letter from Dr. Jack R. MacDonald, Acting President, University of Guelph, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 20, 1992, p. 2. The submission from the University of Guelph was in support of the BIU distribution mechanism. The argument for a ceiling for larger universities is based on the notion that at a certain point the cost of delivering a service, despite the numbers of students, begins to level off.

23. Comments from the University of Ottawa under cover letter from Dr. Marcel Hamelin, Rector and Vice-Chancellor, University of Ottawa, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 12, 1992. To maintain the BIU basis for distribution was based on the view that the BIU method provides a rough justice approach that is consistent with the principles of Advisory Memorandum 88-IX, and as long as these apply there is no reason to change the distribution mechanism.

24. Nipissing University College Response to OCUA Request for Input on the Issue of Distribution of Funding for Enhancement of Accessibility for Students with Disabilities, August 17, 1992, p. 1., under cover letter from Dr. D. Marshall to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 24, 1992.

Letter from J. Robert S. Prichard, President, University of Toronto, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 25, 1992.

WLU's Response to OCUA's Enquiry of July 10, 1992 about the Current Policy of Enhancing Access for Disabled Students to Ontario Universities, under cover letter from Dr. A. Berczi, Vice-President, Planning, Finance and Information Services, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 31, 1992.

Letter from Margaret Crawford, Special Needs Coordinator, Office of Student Affairs, University of Windsor, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 19, 1992.

Letter from Elizabeth Hopkins, Vice President, Campus Relations and Student Affairs, York University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 20, 1992.

Letter from Arthur M. Kruger, Director, Ontario Institute for Studies in Education, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 14, 1992.

Letter from Timothy Porteous, President, Ontario College of Art, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 20, 1992.

Letter from Cynthia Richardson, Chair, Inter-University Disability Issues Association, to Colin Graham, Ontario Council on University Affairs, August 20, 1992.

Letter from Clement Sauve, Senior Advisor, Office for Disability Issues, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 31, 1992.

25. Letter from J. Robert S. Prichard, President, University of Toronto, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 25, 1992, p. 1.

- to supplement an unweighted (FTE) distribution mechanism: with a factor derived on the basis of demand analysis of academic programs based on disability type;²⁶ or, with extra weight for graduate, professional programs and programs which are particularly stringent or demanding;²⁷ or, with a small portion of funding "no more than 10% 'one-time' funding only reserved for no more than two fiscal years" for project competition where access to the competition would be limited to institutions with some minimum number or percentage of disabled students;²⁸ or, with the identified number of students with disabilities and a contingency fund for sudden, unexpected demands for services.²⁹

In response to the proposal raised by Council regarding the feasibility and desirability of distributing the funds on a competitive basis, most of the respondents clearly rejected this option. It was argued that project competition would be contrary to the principle of integrating students with disabilities into regular university programming. The submission to Council from the Provincial Office for Disability Issues argued that funds should not be distributed on a competition basis since:

...this could adversely affect the level of services currently being provided to students with disabilities in university settings. This approach would favour well-funded institutions with the staffing and expertise to write numerous proposals.³⁰

It was also argued that the project approach would not allow for a consistent base on which to do long-term planning, since even if an institution loses the competition and the funding, it would still be required to maintain ongoing responsibilities and costs.³¹

On the matter of specialization and regional testing centres, Council asked the organizations in its July 10, 1992 letter:

Should resources continue to be provided at each institution for each disability or should there be a concentration of facilities in certain locations? Could better

26. Nipissing University College Response to OCUA Request for Input in the Issue of Distribution of Funding for Enhancement of Accessibility for Students with Disabilities, August 17, 1992, p. 1., under cover letter from Dr. D. Marshall, President, to Colin Graham, August 24, 1992.

27. Letter from Arthur M. Kruger, Director, Ontario Institute for Studies in Education, to Colin Graham, Interim Chair, Ontario Council on University Affairs, p. 2.

28. Letter from Professor J. Robert S. Prichard, President, University of Toronto, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 25, 1992, p. 1.

29. WLU's Response to OCUA's Enquiry of July 10, 1992 about the Current Policy of Enhancing Access for Disabled Students to Ontario Universities, under cover letter from Dr. A. Berczi, Vice-President: Planning, Finance and Information Services, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 31, 1992.

30. Letter from Clement Sauve, Senior Advisor, Office for Disability Issues, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 31, 1992, p. 2.

31. Letter from Elizabeth Hopkins, Vice-President, Campus Relations and Student Affairs, York University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 20, 1992, pp. 1-2.

service be provided, given the funds available, by having some degree of specialization, e.g., regional testing centres for students with learning disabilities?³²

Several institutions rejected specialization on the principle that students with disabilities should not be limited in terms of program and institution choice. It was also argued that regional centres might prove counterproductive, if such centres resulted in an assessment backlog with a ripple impact on the service provision.

Since the provision of service follows the identification and testing process, it is imperative that this occur efficiently and as early in the cycle as possible. Otherwise, the delays in the testing procedure would be magnified down the line of arranging for notetakers, ordering texts in alternative formats...³³

Other institutions argued in favour of a certain degree of specialization for services related to certain types of disabilities that have extraordinary costs associated with their provision at each institution. It was suggested that such projects could be undertaken on a co-operative basis with groups of institutions working on collaborative projects, specifically in areas where specialized skills and facilities could be shared among several institutions. It was argued that there is a potential role for Centres of Excellence to offer a reasonable range of services for specific disabilities which is beyond the ability of all institutions.³⁴

Council has considered the option of a small fund for this purpose, but with the reduction in overall funds available to allocate in 1993-94³⁵, Council does not find this possible. Despite the reduction in operating grants available for Council's allocation in 1993-94, Council recommended that the funding of the Enhanced Accessibility for Students with Disabilities Envelope be maintained at its 1992-93 level, while it recommends that all other envelopes, except Transition Grants, be cut.³⁶ The amount of funds that might be made available from within the envelope for such a fund would be too small to make it viable.³⁷

32. Letter from Colin Graham, Interim Chair, Ontario Council on University Affairs, to the Executive Heads of the provincially-assisted institutions, July 10, 1992, p. 3.

33. OCU/A Special Needs Survey: Trent University Response, under cover letter from Dr. J. Stubbs, President and Vice-Chancellor, Trent University, August 18, 1992.

34. Letter from Dr. P. George, President, Council of Ontario Universities, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 31, 1992, p. 1.

35. In its 1993-94 allocative advice, Advisory Memorandum 92-XI, Council advised on base funding plus the \$9.0 million for Transition Grants to New Corridor Mid-Points. Government increased by approximately \$13.5 million, the funds held at the Ministry for various specific purpose grants and other initiatives; therefore, the funds available to Council were reduced by approximately \$13.5 million. Included in the sum of \$13.5 million is the \$3.0 million University Research Incentive Fund (URIF) that the Minister requested be accommodated within the funds on which Council usually recommends.

36. The Minister specifically provided a \$9.0 million increment to Transition Grants to New Corridor Mid-Points on a "one-time only" basis.

37. Nonetheless, a proposal put forth by OISE for assessing students with learning disabilities has merit. Ontario Institute for Studies in Education, Study Skills Assessments and Remediation Workshops to Students with Learning Disabilities in Ontario's Colleges and Universities, January, 1993. This proposal, which was presented to Council in the January, 1993, hearing is "to establish a clinic in Toronto for students located in the Greater Toronto region

With respect to basing the distribution of these funds on the number of students with disabilities, the following issues were raised:

- i) the problems surrounding reporting based on self-identification require resolution;
- ii) this would not be in keeping with the objective of providing all institutions with basic support to assist students with disabilities to pursue university-level studies; and
- iii) such a distribution mechanism might cause inter-year variation in allocations that could jeopardize institutional planning for services to students with disabilities.

Based on the results of its review, Council maintains that the primary goal of the distribution mechanism for this envelope is to serve as an incentive to universities to accommodate students with disabilities, who wish to pursue university-level studies, by providing all institutions with funds to encourage them to set up an infrastructure of services. Therefore, Council continues to recommend a base distribution to all institutions. Council finds that there is a need to alter the distribution mechanism from that of BIUs because:

- BIU weights reflect higher instructional costs for different programs and levels of study yet many disability related costs do not vary across level or program of study; and
- currently, the institutions report that students with disabilities, who have self-identified, tend to be concentrated in the relatively lower weight programs at the undergraduate level.

The BIU basis for distribution allocates more grants from this funding envelope to high weight institutions; that is, institutions with large graduate and professional program enrolments. As a result, the BIU basis for distribution places a premium on programs and level of study in which, according to the institutions, proportionally fewer students with disabilities enrol.

Council continues to support the principle of voluntary self-declaration of disability. However if, as proposed by some institutions, a funding distribution mechanism is to be based in any manner on a count of students with disabilities and associated costs, a workable definition of a student with a disability would need to be established for accountability and auditing purposes. Such a definition would be required to ensure the accuracy of the number of students, counting those with disabilities served, and to ensure the inter-institutional comparability of these data.

With respect to the expenses to which these funds can be applied, generally the submissions to Council indicated that while the list of eligible expenditures was adequate, the funding available in this envelope required the institutions to use other sources in order to afford the list. Some institutions noted that it is very costly to provide:

- learning disabilities testing;
- specially-equipped vehicles for on-campus transportation; and
- real-time captioning for deaf students who do not benefit from assistive listening systems.

While the initial Council's focus of review was on the distribution mechanism, it became evident as the study progressed that there is a broad range of additional issues equally important as issues of distribution. These issues include accountability, capital funding, jurisdictional issues, operational standards, and shortages of equipment and/or trained specialists for certain

and a number of satellite clinics to be housed either in our 8 regional field offices or in regional locations accessible to students. Referrals for assessment and remediation workshops will be the responsibility of the Special Needs Coordinators in the appropriate college or university." Such collaborative projects deserve support if they both save money and enhance services.

disability types, i.e., services for students with hearing impairments and students with learning disabilities. Some of these issues pertain to the extraordinary costs associated with providing adequate levels of appropriate service to students with disabilities for university-level academic programs and services in Ontario universities. Jurisdictional issues relate to the responsibility for the provision of services to students with certain types of disabilities by different government and publicly-supported institutions. In times of fiscal restraint, it is particularly important to be clear about the lead responsibility for the provision of services to the public. Council concludes these issues must be addressed if access barriers are to continue to be reduced. These issues are discussed further in Section 4.

3.1 Council's Recommended Approach to the Distribution Mechanism

While Council heard that there were institutions in support of maintaining the BIU based distribution mechanism, Council found there was strong support for a change in the distribution mechanism. This support centred on a distribution mechanism based on enrolments not weighted by program or level of study. The common theme, in the arguments in support of such a change, focused on the finding that the expense of service delivery to students with disabilities varies to a greater degree by type of disability and to a lesser extent by program and level of study. While it was recognized that the cost of accommodating a student with a disability could vary based on the program or level of study in which the student is enrolled, it was maintained that distributional equity could be improved by basing the distribution mechanism on unweighted enrolments. In addition to basing a distribution mechanism on unweighted enrolments, Council heard there was support for grants above the base distribution to be allocated on the basis of institutional numbers of, and/or services to, students with disabilities, since this might further enhance distributional equity.

Council therefore finds there is merit in the arguments for an unweighted enrolment distribution mechanism. As noted above, Council has reviewed the merits and drawbacks of various approaches to changing the distribution mechanism and finds that the potential problems created by the project competition on the base, and the issues relating to the creation of a small competitive fund in these times of fiscal downsizing, warrant a rejection of such a mechanism. Council also finds that the use of number of students with disabilities or students served is not a viable method of distribution, at this time, since there are unresolved issues of costing and of the accuracy and inter-institutional comparability of the data that has been collected. Council finds there is merit in changing the basis for distribution to that of eligible FTE enrolments on an interim basis. Council recommends that an interim distribution mechanism, specifically based on a three-year moving-average of eligible full and part-time FTEs slipped one year, be put in place for the 1993-94 and the 1994-95 fiscal years, while Council has an opportunity to conduct a subsequent review which takes into consideration the issues cited in this Memorandum. It is also important, however, to develop a mechanism which encourages laboratory or studio-based programs such as Science and Fine Arts, professional programs such as Engineering and Medicine and graduate programs, to remove barriers to access for students with disabilities.

Council reaffirms there is a need for the distribution mechanism to support the basic fixed costs of service delivery to students with disabilities. Therefore, funding for the infrastructure for basic services, usually provided in a special needs office at all institutions, must remain a priority. However, the establishment of a special needs office does not mean an office specifically set up for this purpose alone, since this interpretation might be neither feasible nor practical. In some cases, the services of such an office could instead be provided jointly through an appropriate counselling services office and might better meet the need to integrate these activities into the mainstream of university counselling activities, thereby freeing up resources for other special needs, such as equipment. A special needs office provides facilitator, intervenor and advocacy functions for students with disabilities. As a result, Council continues to recommend a floor provision, albeit, a modified floor provision. For Dominican College and Hearst College, Council recommends a reduction from \$90,000 to \$60,000 consistent with the

relatively small numbers of students enrolled in these institutions. Council recommends, for other institutions, that the \$90,000 floor be maintained.

Accordingly, Council *recommends to the Minister:*

OCUA 93-42

*THE DISTRIBUTION MECHANISM FOR THE ENHANCED ACCESSIBILITY
FOR THE STUDENTS WITH DISABILITIES FUNDING ENVELOPE IN
1993-94 AND 1994-95*

THAT the mechanism be altered to reflect distributions based on a three-year moving-average of total eligible Full-Time Equivalent students, slipped one year, with a floor provision of \$60,000 for Hearst College and Dominican College, and a floor of \$90,000 for other provincially-assisted university-level institutions for the 1993-94 and the 1994-95 funding years.

4.0 Outstanding Issues

In its review, Council found there are a number of issues beyond the distribution of available funding that also need to be addressed in the near future. These issues include accountability, capital funding, jurisdictional issues, especially among provincial agencies including the Ministry of Education and Training, operational standards, shortages in areas of extraordinary costs, and the need for increased collaborative efforts among institutions to achieve savings. If university-level institutions are to be enabled to provide services using optimal practices in a service area which is expected to continue to experience rapid growth, these issues need to be addressed in a co-ordinated manner.

The overwhelming response to Council's question regarding the adequacy of the current accountability procedure³⁸ was that current accountability was too costly and time-consuming. Council considers that the design of future accountability requirements should take into account the direct financial and manpower-related costs of implementing and maintaining accountability procedures. In the planning phase, deliberate consideration should be paid to designing a mechanism that minimizes the costs of administration, in order that the maximum resources are made available for the purpose of the envelope and not diverted to reporting requirements. This factor should be taken into consideration in Council's planned review that is recommended in this advice.

Council heard as a major and recurring theme in its Fall hearings that there is need for Government to provide specific and separate capital funding to adapt university facilities. Physical barriers create significant impediments to accessibility. There is an urgent need, at many institutions, for funding to support capital renovations and retrofit projects to eliminate such barriers. This fund needs to be established in addition to existing funds.

Council notes that the Ministry has recently announced that renovations to reduce physical barriers are one of the eligible criteria for funding under the renovations funding.³⁹ Council urges the Minister to consider a specific and separate capital fund to address the issue of physical access. In particular, we note that a competitive fund to adapt laboratory, studio and other special purpose facilities could aid in the goal of gaining access for students with disabilities to specialized and professional programs.

Council also heard that jurisdictional issues relating to whose obligation it is to provide which services create complications which delay and/or obstruct service delivery. On the issue

38. *Ibid.* p. 3.

39. Memorandum from Ministry of Colleges and Universities to Executive Heads of provincially-assisted universities.

of attendant care for students with severe physical disabilities, for example, the universities argued that they should not be required to address the discrepancies which exist between local offices of the Vocational Rehabilitation Services Program.⁴⁰

Council heard that the growth in number of students with disabilities studying at the university-level has increased demand for personal services such as attendant care services, assistive devices, and academic services such as sign language interpretation. Underlying the jurisdictional tangles, there is a fundamental question of who is responsible for the personal services required, whether the person with a disability is enrolled at a postsecondary institution or not. Some services and equipment are clearly needed by an individual for his/her daily living requirements, and are therefore best provided by agencies other than Ministry of Education and Training. In this vein, Council notes that the Ministry of Health and the Ministry of Community and Social Services are working together on legislation to address the issue of individualized services pertaining to long-term care in the form of Bill 101 - An Act to Amend Certain Acts Concerning Long Term Care.⁴¹

Council has noted, in this document, service areas that have been cited as being more costly to provide. Where different levels of government are providing coverage, Council recommends that there be more and better co-ordination among ministries, and between Government and the institutions in the funding and provision of services to students with disabilities. Furthermore, in addressing the jurisdictional issue of who funds the services provided to students with disabilities, Government needs to consider the standard of services. As university-level institutions accommodate students with disabilities, attention must be given to maintaining the quality of the university education-related service provision for these students.

The demand for services, resulting from the increased enrolments of students with disabilities, has revealed the limitations of the existing delivery systems. Council was made aware that prior to the establishment of this funding envelope, the less formal incentives to accommodate students with disabilities proved only partially effective in meeting the university-level needs of students with disabilities. Council has heard that, because of delays and other impediments in obtaining funding for students, in some areas the funds associated with the envelope may have been used to provide services that should be funded by other ministries or levels of government. In its brief to Council, Ryerson Polytechnical Institute stated that:

While the current range of activities [eligible for funding] is appropriate, a clearer definition of the activities needs to be established so that MCU enhancement funds for students with disabilities are not eroded in instances of cross-ministry or cross-program funding. Particularly, VRS, and attendant care services through MCSS and the OSAP program need to be addressed for fund specific direction. A clearer direction would halt the use of MCU enhancement funds for these activities.⁴²

With this comment in mind, some institutions are providing needed services while the issue of responsibility remains unresolved.

Council is cognizant that the former ministries of Colleges and Universities and Education have established a joint Task Force to address the problems of print handicapped students and the new Department of Colleges and Universities has conducted a provincial review of visual

40. OCUA Special Needs Survey: Trent University Response, under cover letter from Dr. J.O. Stubbs, President, Trent University, to Colin Graham, Interim Chair, Ontario Council on University Affairs, August 18, 1992.

41. Bill 101 received Second Reading on December 9, 1992.

42. Ryerson's Response to the Issue of Distribution of Funds for Enhancement of Access for Students with Disabilities, p. 3., under cover letter from Terence W. Grier, President, Ryerson Polytechnical Institute, August 20, 1992.

language interpreting services, intervention services for deaf-blind persons, and text-based services for deaf and hard of hearing persons. We hope that the ministries will address the issues of service delivery and jurisdiction raised by these reports. In addition, we alert them to the need for similar needs regarding attendant care services.

4.1 Shortages in Areas of Extraordinary Costs and Collaboration to Achieve Economies

Council heard, in its consultations, that there are acute shortages in specific service areas for certain types of disabilities - in particular, in services for students with hearing impairments and students with learning disabilities. Council also heard that there are extraordinary costs associated with meeting the needs with respect to these disabilities. Council finds there is a clear need for institutions to collaborate on projects in order to optimize use of scarce resources, especially in these areas of extraordinary costs. Collaborative projects might be the most effective manner in which institutions could undertake to meet such needs. The incentive to do so should come from the need to meet expected increases in demand in a manner which achieves savings by limiting stand-alone equipment and service expansion which might prove to be underutilized. Council recommends that institutions consider collaborative strategies to address these needs.

Consistent with the need to review the role and funding of university education related services for students with disabilities studying at these institutions, Council makes the following recommendation.

Accordingly, Council *recommends to the Minister:*

OCUA 93-43

A REVIEW OF THE MINISTRY'S FUNDING TO ENHANCE UNIVERSITY EDUCATION RELATED SERVICES FOR STUDENTS WITH DISABILITIES STUDYING IN DEGREE PROGRAMS AT UNIVERSITY-LEVEL INSTITUTIONS

THAT such a review be conducted in 1993-94 and 1994-95 to study the policy issues raised in this advice in relationship to the Enhanced Accessibility for Students with Disabilities Funding Envelope, and the appropriateness of basing the distribution mechanism in some manner on the numbers of students with disabilities served and the cost of providing services to different types of disabilities.

Joy Cohnstaedt,
Chair

April 16, 1993

SECTIONS 11 AND 17 OF THE ONTARIO HUMAN RIGHTS CODE

Part 1, Section 11, Chapter H.19:

11. (1) A right of a person under Part 1 is infringed where a requirement, qualification or factor exists that is not discrimination on a prohibited ground but that results in the exclusion, restriction or preference of a group of persons who are identified by a prohibited ground of discrimination and of whom the person is member, except where,

- (a) the requirement, qualification or factor is reasonable and bona fide in the circumstances; or
- (b) it is declared in this Act, other than in section 17, that to discriminate because of such a ground is not an infringement of a right.

(2) The Commission, a board of inquiry or a court shall not find that a requirement, qualification or factor is reasonable and bona fide in the circumstances unless it is satisfied that the needs of the group of which the person is a member cannot be accommodated without undue hardship on the person responsible for accommodating those needs, considering the cost, outside sources of funding, if any, and health and safety requirements, if any.

(3) The Commission, a board of inquiry or a court shall consider any standards prescribed by the regulations for assessing what is undue hardship.

Part 1, Section 17, Chapter H.19 states that:

17. (1) A right of a person under this Act is not infringed for the reason only that the person is incapable of performing or fulfilling the essential duties or requirements attending the exercise of the right because of handicap.

(2) The Commission, a board of inquiry or a court shall not find a person incapable unless it is satisfied that the needs of the person cannot be accommodated without undue hardship on the person responsible for accommodating those needs, considering the cost, outside sources of funding, if any, and health and safety requirements, if any.

(3) The Commission, a board of inquiry or a court shall consider any standards prescribed by the regulations for assessing what is undue hardship.

(4) Where, after the investigation of a complaint, the Commission determines that the evidence does not warrant the appointment of a board of inquiry because of the application of subsection (1), the Commission may nevertheless use its best endeavours to effect a settlement as to the duties or requirements.

Table 1

Students Served by the Special Needs Office at each Institution

Percentage				
	<u>1989-90</u>	<u>1991-92</u>	<u>Increase from 1989-90</u>	<u>Increase from</u>
<u>1989-90</u>				
Brock	25	117	92	368.0%
Carleton	200	250	50	25.0%
Guelph	75	188	113	150.7%
Lakehead	31	83	52	167.7%
Laurentian	5	53	48	960.0%
Algoma	12	25	13	108.3%
Hearst	n.a.	7		
McMaster	80	130	50	62.5%
Nipissing	28	57	29	103.6%
Ottawa	120	193	73	60.8%
Queen's	90	292	202	224.4%
Toronto	323	730	407	126.0%
Trent	53	143	90	169.8%
Waterloo	160	315	155	96.9%
Western	157	236	79	50.3%
Wilfrid Laurier	23	98	75	326.1%
Windsor	85	123	38	44.7%
York	290	542	252	86.9%
OISE	8	24	16	200.0%
Ryerson	101	407	306	303.0%
O.C.A.	n.a.	41		
TOTAL	1,866	4,054	2,140	117.3%

1. In 1991-92, the University of Guelph Special Needs Office saw an additional 72 students because of suspected learning disabilities. 1989-90 data was provided by telephone.
2. 1989-90 data for Carleton University is an estimate provided by the Assistant Director, Special Needs, by telephone.
3. Data for Algoma College was provided by telephone.
4. 1989-90 data for Brock was provided by telephone.
5. 1991-92 data for Hearst was obtained from the College's 1991-92 report submitted to MCU.

Table 2

1991-92 Students Served by Special Needs Offices

<u>Total</u>	<u>Learning Disability</u>	<u>Other Disability</u>	
Brock	43	74	117
Carleton	141	109	250
Guelph	90	98	188
Lakehead	38	45	83
Laurentian	20	33	53
Algoma	8	17	25
Hearst		7	7
McMaster	24	106	130
Nipissing	14	43	57
Ottawa	85	108	193
Queen's	127	165	292
Toronto	334	433	767
Trent	80	63	143
Waterloo	95	221	315
Western	111	125	236
Wilfrid Laurier	29	69	98
Windsor	52	71	123
York	334	208	542
OISE	4	20	24
Ryerson	185	222	407
O.C.A.	19	22	41
TOTAL	1,833	2,259	4,091
Percentage of Total:	44.8%	55.2%	100.0%

93-IV Modification to Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94, in Light of Government's Expenditure Control Plan Announced by the Minister of Finance, April, 1993

1.0 Introduction

On February 19, 1993, Council provided in Advisory Memorandum 92-XI its advice on the allocation of Government operating grants to Ontario universities for 1993-94. That advice was based on Ministerial announcements made November 23 and December 22, 1992, outlining the funds available for allocation. At that time, the funds available for Council's recommendation were \$1,934.125 million.

On April 30, the Minister of Education and Training requested that Council revise its advice on the allocation of university operating grants for 1993-94, in light of announced operating grant reductions associated with the province's Expenditure Control Plan.

Two reductions in addition to those previously announced directly affect Council's operating grants allocation advice in Advisory Memorandum 92-XI: a reduction of \$15.0 million in universities' base operating grants, and a \$5.9 million reduction in operating grants for Additional Qualification (AQs) courses for in-service teachers. The latter was indicated as being the first instalment of the phase-out of an identified \$58.5 million to be removed from the university system's base grants over four years.¹ In addition, the \$3.0 million set aside from Council's February allocation for the University Research Incentive Fund (URIF) has been eliminated. The \$3.0 million loss in operating grants to the university system is not altered by the elimination of these grants.

In this Advisory Memorandum, Council provides its revised advice on the allocation of university operating grants for 1993-94. It is supplementary to the advice contained in Advisory Memorandum 92-XI, modifying the results of that advice in accordance with the further grant reductions announced by Government and the considerations outlined below. For a full discussion of the allocation within each funding envelope, please refer to Advisory Memorandum 92-XI.

As Table 1 indicates, the level of 1993-94 university operating grants on which Council provides advice totals \$1,913.225 million. This is \$25.368 million or 1.3% below the 1992-93 level. Included in this amount are \$9.0 million in one-time-only incremental funding for Transition to New Corridor Level Grants. Ongoing base operating grants have been reduced by \$34.398 million or 1.8% from the level Council advised on in 1992-93.

In preparing this advice, Council requested the views of institutions and stakeholder groups on the most appropriate method of allocating the reductions in grant levels. This input was most helpful in developing this Advisory Memorandum and Council would like to thank these groups for their advice.

Council makes two recommendations which modify the advice contained in Advisory Memorandum 92-XI. First, following the principles upon which the original advice for 1993-94 was developed, the \$15.0 million in grant reductions should be applied in the same proportion

1. Memorandum from Charles Pascal, Deputy Minister, to Executive Heads of universities delivering Additional Qualification courses for elementary and secondary school teachers, April 23, 1993.

to all envelopes which Council advises upon excepting the Transition to New Corridor Level Grants and the Enhanced Accessibility for Students with Disabilities Funding envelopes. In addition, the Extraordinary Grant envelope for Algoma College was reduced by 7.1% in our initial advice, this reduction was not altered.

The second principle is that the \$5.9 million reduction in funding for Additional Qualifications Basic Income Units (BIUs) be carried out in a manner without prejudice or precedent for how the \$58.5 million in funding will be phased-out in the future. For 1993-94, Council recommends that the \$5.9 million reduction in AQ funding be effected through the normal formula mechanisms by increasing the Formula Fee rates to levels which offset the grant reductions, thereby affecting only those institutions with AQ BIUs and not affecting eligible BIU or corridor levels. To bring about this change, Formula Fee rates for the Summer, Fall and Winter terms will need to be increased by \$831.00 per Fiscal Full-Time-Equivalent (FFTE) student to \$2,624 or by approximately \$166.00 per course, or, if applied to only the Fall and Winter terms, Formula Fee rates will need to be increased by \$1,825.00 per FFTE to \$3,618 or by approximately \$365.00 per course.

2.0 Reduction in 1993-94 Ongoing Base Operating Grants

Council believes that the \$15.0 million reduction in base grants should be removed in as fair and equitable manner as possible. The general approach to handling this reduction in operating grants in this advice follows the approach adopted in Advisory Memorandum 92-XI. The burden of the grant reduction is distributed proportionately over all envelopes with the following exceptions: the Enhanced Accessibility for Students with Disabilities Funding envelope, Transition to New Corridor Level Grants envelope and the Extraordinary Grant for Algoma College. Each of the three envelopes, which have been accorded different treatment, has been the subject of a recent review by Council.

On the basis of findings in Council's review of the Enhanced Accessibility for Students with Disabilities Funding envelope outlined in Advisory Memoranda 92-XI and 93-III, Council believes that the funding allocated to this envelope should not be reduced from the 1992-93 level. By recommending the maintenance of the level of the envelope, Council is placing a priority on assisting with the funding of services for students with disabilities and signalling the importance it attaches to this envelope.

The previously announced targeted \$9.0 million increase in one-time-only funding for the Transition to New Corridor Level Grants envelope remains intact. This incremental funding is in place only for 1993-94 and helps accommodate the transition funding needs for New Corridor enrolment levels. This envelope remains a priority for Council, and Council recommends that the amount set aside by Government for this purpose continue to be allocated to the sum of \$181.878 million of which \$9.0 million is one-time-only funding.

In Advisory Memorandum 92-XI, it was recommended that the Extraordinary Grant for Algoma College be reduced by \$54,000 or 7.1%. Council has not altered its advice for this grant believing that the level of grant recommended remains appropriate.

Accordingly, Council *recommends to the Minister:*

OCUA 93-44

**MODIFICATION TO ADVISORY MEMORANDUM 92-XI RESULTING FROM A
\$15 MILLION REDUCTION IN BASE OPERATING GRANTS FOR 1993-94**

THAT for 1993-94, the following operating grants envelopes be reduced proportionately to accommodate a further \$15.0 million reduction in base operating grants:

Differentiation Grant
Northern Ontario Operations Grants
Northern Ontario Mission Grants
Bilingualism Grants
Research Overheads/Infrastructure Envelope
International Graduate Student Fee Waivers
Formula Grants

The results of this recommendation, combined with the impact of Recommendation 93-44 on the reduction in grants for AQ BIUs in the Formula Grants envelope, are found in Table 2.

3.0 Reduction in 1993-94 Funding for Enrolments in Additional Qualification Courses for Elementary and Secondary School Teachers

As indicated above, it was announced that \$5.9 million in base operating grants for funding Additional Qualifications for teachers are to be removed in 1993-94 from the Formula Grants Envelope. Council is deliberately dealing with this AQ grant reduction as a short-term 1993-94 solution **without prejudice or precedent for how the sum of \$58.5 million will be phased-out in the future**. Council will propose a follow-up process to develop a longer-term solution to the phase-out of funds after completing its revisions to the 1993-94 allocative advice.

Council has been informed that the Ministry expects that the \$5.9 million reduction associated with this year's AQ announcement must be directly related to AQ activity.² Consequently, the approach devised by Council for removal of the \$5.9 million in AQ funding for 1993-94 has a direct impact on those institutions with AQ BIUs.

3.1 Data, Technical and Policy Issues

One of the first issues, which arises when trying to develop an appropriate method for AQ grant removal in 1993-94, is data availability and accuracy. Council realizes that there are numerous data issues related to AQs. For example, Additional Qualifications relate to courses, not program majors. BIUs and FTEs are associated with majors, not courses offered. AQ courses at some institutions can be taken as credit courses, as electives for students enrolled in degree-credit courses. What constitutes AQ courses may also be confused by the timeliness of the Government's publication of regulations. Another issue is whether the target of the reduced funding should be Advanced Qualifications courses regardless of the status of the student, or, alternatively, enrolments by teachers in in-service training without declared degree program majors. A further issue is whether, as a matter of public policy, funding for some AQ courses should be maintained. Examples might be in the areas of Native Languages, English as a Second Language, Behavioral Problems and Learning Disabilities.

Another issue which arises from the available data is the inability to identify the proportion of 1993-94 "Summer" enrolments that are represented by students who are mid-way through their courses of study when this advice is submitted, and as a consequence could not be expected to pay a higher fee. At some institutions, students enrolled in the intersession or Spring term (May and June) are counted for funding purposes as being in the Summer session.

There are also a number of technical issues which arise. Some institutions have argued that because of historic enrolment discounting imbedded in the operating grants formula, many of the AQ BIUs have never generated grant income or only a discounted amount. Similarly, institutions have argued, since AQs were not a specific area of targeted enrolment growth in the 1989-90 Corridor Negotiations process, that AQ growth beyond the old corridor level has not been funded.

2. Ibid.

Some institutions have further argued that the proposed removal of grants, targeted at particular institutions and courses or programs of study, undermines the integrity of the formula and the block grant and corridor funding system upon which it is built. Indeed, on the basis of these concerns, some institutions argued for a solution which would reduce all institutions' funding levels and would not be an AQ specific solution. It was argued that the block grant system allows eligible enrolments to generate operating grant and Formula Fee income but allows institutions to determine an appropriate distribution of expenditure of funds among programs. (On this point, Council accepted the Ministry's parameter that the removal of \$5.9 million in 1993-94 must be AQ sensitive.)

A final critical policy issue is the potential impact of funding reductions on institutional viability. Some of the faculties of education at Ontario universities are heavily involved in offering AQ courses. These institutions have a relatively high proportion of their enrolment in AQ courses. Consequently, if not dealt with sensitively, there is the potential for the funding cuts to affect the financial viability of these institutions.

Council has not been able to consider all these issues in the short timeframe it has had to deal with the AQ funding removal. The data problems are real and should be resolved. The technical and public policy issues which arise are more fundamental and have broader implications than just AQ funding. These are serious concerns. Council believes that the longer-term funding reduction solution, while dealing with AQ funding reductions, should be developed from a broader policy perspective which looks beyond the instant case of AQ courses.

Council recommends that the Minister refer to Council the longer-term issue of AQs and the funding reduction as part of a comprehensive review of resource allocation issues in the university sector. This review would need to deal with the issues of the strategic removal of funding from programs in the broader context of appropriate operating grants allocation procedures.

3.2 Recommendation for 1993-94

In developing its advice for 1993-94, Council has tried to ensure that the recommended approach is as fair and equitable as possible and meets the stated objectives of Government for the \$5.9 million operating grant reduction. Council received a variety of suggestions with respect to implementing the reductions in AQ grants for 1993-94. For example, some institutions have indicated that they believe the grant reduction should be applied across the system and not only to institutions with AQ enrolments. Council believes, however, that for 1993-94 this would not meet the Minister's objectives and the adjustment must be AQ specific.

Other institutions suggested that the reduction in grant income should be effected through existing formula mechanisms by increasing the Formula Fees associated with AQ FTEs. Institutional operating grants distributed through the Formula Grants envelope are determined by allocating total university system's Basic Operating Income (BOI - the sum of Formula Grants and Formula Fees representing an approximation for institutional operating income) according to a predetermined share of the total Formula Grants and Formula Fees available. Under this approach, the universities with AQ enrolments would have the Formula Fee rates associated with these enrolments increased allowing the institutions to charge higher tuition fees to offset the grant revenue lost. The university system level of BOI in the Formula Grant envelope would be held at pre-AQ grant cut levels, but as a result of the increase in Formula Fee rates, the portion of BOI accounted for by Formula Fees would increase by \$5.9 million and the portion accounted for by Formula Grants would be reduced by \$5.9 million. Since an individual institution's Formula Grant allocation equals the institution's BOI (Formula Grants plus Formula Fees) minus Formula Fees, each institution with AQ BIUs (weighted enrolments) would have its share of BOI accounted for by grants reduced as they are displaced by higher Formula Fees.

Another alternative would be to reduce the funding corridor for each institution with AQ BIUs by a level sufficient to remove the equivalent of \$5.9 million in grants. It would be

premature to reduce funding corridors for a 1993-94 specific solution. This approach would be extremely disruptive and could not help having long-term implications.

3.2.1 Mechanism for AQ Funding Reductions in 1993-94

The approach Council recommends to be adopted was developed within the following parameters: the reduction must be AQ specific; the sum to be reduced in 1993-94 is \$5.9 million; the solution should respect the existing formula mechanisms; and the solution should not be prejudicial to the long-term strategy for the removal of \$58.5 million from the system. Consequently, after reviewing the options available, Council recommends that the reduction in AQ funding be effected through fee displacement by increased Formula Fees in the Summer, Fall and Winter terms of 1993-94.

The method by which Council applies this approach to distributing the AQ funding reduction can best be described as a rough-justice solution for 1993-94. The procedure used is summarized below:

- An estimate of AQ activity in each institution involved in offering AQ courses was developed using 1992-93 audited FFTE and BIU enrolment data.³
- The increase in Formula Fees required to generate a system-level increase in formula operating revenue of \$5.9 million was estimated based on the estimate of audited enrolment provided by the Ministry of Education and Training. This estimate was based on the estimated level of enrolments for four-terms in a fiscal year (Spring, Summer, Fall and Winter) regardless of when an institution chooses to increase its fee rates.
- To help offset the grant revenue loss, Formula Fee rates for AQ courses (broadly defined to include enrolments reflective of the audited data) are increased by \$831.00 per FFTE or by approximately \$166.00 per course if the institution charges a higher fee in the Summer, Fall and Winter terms. Given that for some institutions "Summer" enrolments include intersession or Spring students who are already midway through their course of study, and consequently cannot increase fees for a substantial proportion of their Summer enrolment, institutions should also be allowed to choose to delay implementation of the fee rate increase to the Fall and Winter terms. In these circumstances, an institution's Formula Fees will increase by \$1,825.00 per FFTE or \$365.00 per course for the Fall and Winter terms and not increase from previously announced levels for the Summer term.
- Institutions should be expected to have to declare to the Ministry by June 30, 1993, which fee option it wishes to choose and follow.

Institutions with AQ enrolments were asked to compile and submit their 1991-92 and 1992-93 AQ and Non-AQ in-service teacher education enrolment data. These data were not used to allocate the Formula Fee increase for two reasons. First, the data are unaudited. Council is reluctant, in this instance, to use unaudited data for the purposes of assigning a grant reduction. Second, Council has been informed by institutions submitting data that there are differences in definitions used to generate enrolment levels submitted, making direct use of the data for grant reduction allocation inappropriate. The data submitted have been useful, however, in choosing an appropriate estimator of AQ activity which is based on audited enrolment.

3. These calculations are based on the University Audit Report (UAR) data. The final audited enrolment for 1992-93 will be submitted later in the year. Following normal allocative procedures, the calculation of the AQ estimator will be adjusted for any enrolment counting modifications resulting from these audits.

The level of AQ activity, in each institution, has been based on an approximation of AQ enrolment levels. Council compared institutionally-submitted unaudited AQ enrolment figures with Ministry estimates of AQ enrolments based on audited data. Based on audited data for teacher education enrolments, the following estimators of AQ enrolment levels for 1991-92 and 1992-93 were compiled:

- i) part-time enrolments in all teacher education programs;
- ii) full and part-time residual of total teacher education enrolments less pre-service teacher education enrolments;
- iii) part-time residual of total teacher education enrolments less pre-service teacher education enrolments; and
- iv) the residual of total teacher education enrolments, less pre-service teacher education enrolments, for full-time and part-time Spring and Summer enrolments and part-time Fall and Winter enrolments.⁴

For three of the four estimators developed by the Ministry, audited data were available for only 1991-92 and 1992-93. When the institutional data were compared to the Ministry AQ estimates, and taking into account differences in definitions used by the institutions, the best fit was found between the unaudited institutional data and the fourth estimator - the residual of total teacher education enrolments, less pre-service teacher education enrolments for full-time and part-time Spring and Summer enrolments and part-time Fall and Winter enrolments. Council has used the AQ enrolment levels in 1992-93 for each of the institutions involved in AQ instruction as the estimate of AQ enrolment levels. Council is fully aware of the caveats surrounding the Ministry estimators which were raised by the institutions in their submissions. Nevertheless, Council has used the data set identified to determine AQ institutional shares of system AQ activity. It is on that basis that Council has established its adjustment to Base Formula Fees.

3.2.2 Fee Displacement Approach for 1993-94

Using these data, Council estimated the full-year level of AQ enrolment, and distributed the required increase in Formula Fee income among universities on this basis. The distribution was based on all terms of enrolment for the following reasons. Under the Recommendation below, the institutions will have the ability to charge higher fees for all of the terms in which enrolments are counted (Summer, Fall and Winter), with the flexibility to charge higher fees only in the Fall and Winter terms as an accommodation for intersession enrolments. A distribution, according to all terms, is reflective of the annual AQ activity and provides a more even distribution of grant reduction among the institutions involved. Table 3 outlines the enrolment data used, the information provided by universities and the resulting institutional Formula Fee and Formula Grant adjustments associated with the \$5.9 million reduction in operating grants.

Universities will be able to offset all or a part of the grant income reduction through charging higher tuition fee rates. Government has indicated that universities will be able to charge higher fee rates as Government funding is removed from these courses. Council believes that it is preferable for institutions to distribute such fee increases over more AQ students in 1993-94, thereby limiting the size of fee increase for each AQ student required to pay higher fees. As noted above, if Formula Fees are to be increased for Summer, Fall and Winter terms, the Formula Fee increase per course will be \$166.00. While Council feels that this approach is

4. FORPOS 139, 141, 142 and 143.

fairer to all AQ students, institutions which feel that they cannot increase fees in the Summer term should be allowed to charge higher Fall and Winter Formula Fees increasing the Formula Fee rates, for these terms only, by \$365.00 per course.

As far as Council knows, providing institutions with the flexibility to charge different Formula Fee rates, depending on when the increase is introduced, is unprecedented. However, the timing of the announced withdrawal of AQ funding and the unique circumstances presented by this situation call for such flexibility. This approach should be considered specific to these unique circumstances. Given the unique circumstances, Council believes that it is appropriate for institutions to have to declare, in writing, to the Ministry by June 30, 1993, whether they will be using the lower Formula Fee rate for Summer, Fall and Winter enrolments or, alternatively, the higher Formula Fee rate for Fall and Winter enrolments and hold Summer fees at current levels.

The distribution, which results from this approach to allocating the \$5.9 million reduction in 1993-94 Formula Grants associated with AQ courses, is embedded in the grant allocation found in Table 2. Council wishes to again emphasize that this procedure is recommended without prejudice or precedent for how the remaining announced \$58.5 million will be phased-out in the future.

Accordingly, Council *recommends to the Minister:*

OCUA 93-45

*\$5.9 MILLION REDUCTION IN 1993-94 FORMULA GRANTS ASSOCIATED
ENROLMENTS IN ADDITIONAL QUALIFICATION COURSES FOR TEACHERS*

THAT for 1993-94, the announced \$5.9 million reduction in operating grants for Additional Qualification courses for teachers be accommodated through the Formula Grants envelope according to the procedures outlined in this Memorandum and that Formula Fee rates be adjusted as indicated.

4.0 Conclusion

The operating grants allocation, outlined in Table 2, is based upon the advice contained in this Memorandum and that contained in Advisory Memorandum 92-XI. Given that institutions are already one month into their 1993-94 fiscal year, it is important that this advice be responded to and released as soon as possible.

Joy Cohnstaedt,
Chair

May 31, 1993

Table 1

Availability of Funds for Distribution as Formula Grants for 1993-94 in Comparison to 1992-93

	1992-93	Nov./Dec. 1992 1993-94	\$ Change	% Change	April 1993 1993-94	\$ Change	% Change
1. Operating Grants Available for Council Allocation Add: One-time only New Corridor Funding	1,938,623,000	1,925,125,000 9,000,000	(13,498,000)	-0.7	1,904,225,000 9,000,000	(34,398,000)	-1.8
2. Total Available for Council's Allocation Contingency Provision Available for Council Recommended Grants	1,938,623,000 800,000 1,937,823,000	1,934,125,000 500,000 1,933,625,000	(4,498,000) (4,198,000)	-0.2 -0.2	1,913,225,000 500,000 1,912,725,000	(25,398,000) (25,098,000)	-1.3 -1.3
3. Mission-Related, Institution-Specific Funding Envelopes a) Differentiation Grant b) Northern Ontario Grants i) Operations ii) Mission c) Bilingualism Grants Sub-Total d) Extraordinary Grant - Algoma College	1,789,000 8,533,000 3,000,000 25,947,000 39,269,000 760,000	1,776,000 8,469,000 2,978,000 25,753,000 38,976,000 706,000	(13,000) (64,000) (22,000) (194,000) (293,000) (54,000)	-0.7 -0.7 -0.7 -0.7 -7.1	1,760,000 8,396,000 2,952,000 25,532,000 38,640,000 706,000	(29,000) (137,000) (48,000) (415,000) (629,000) (54,000)	-1.6 -1.6 -1.6 -1.6 -1.6 -7.1
4. Other Operating Grants a) Research Overheads/Infrastructure Grants b) International Graduate Student Fee Waivers c) Enhanced Accessibility for Students with Disabilities	30,569,000 5,746,000 4,892,000	30,340,000 5,703,000 4,892,000	(229,000) (43,000) 0	-0.7 -0.7 0.0	30,080,000 5,654,000 4,892,000	(489,000) (92,000) 0	-1.6 -1.6 0.0
5. Transition Grants to New Corridors	172,878,000	181,878,000	9,000,000	5.2	181,878,000	9,000,000	5.2
6. Formula Grants	1,683,709,000	1,671,130,000	(12,579,000)	-0.7	1,650,875,000	(32,834,000)	-1.95

Notes:

1. The level of Formula Grants allocated as a result of the April, 1993, announcement reflects the \$5.9 million reduction associated with Additional Qualifications (AQ) enrolments. The \$5.9 million AQ cut has been allocated only to those institutions indentified as providing AQ courses.

Table 2

DISTRIBUTION OF GRANTS GENERATED BY RECOMMENDATIONS IN ADVISORY MEMORANDUM 93-IV

(\$000)

Institution	Mission-Related Institution-Specific					1993-94 Recommendations					Other Operating Grants					Transition Grants		Total Grants Recommended in 1992-93	\$ Change	% Change	
	Northern Operations Grants	Northern Mission Grants	Bilingual Grants	Differentiation Grants	Extraordinary Grants	Research Overheads	Contingency Provision	International Graduate Student Difficulties Fee Waiver	Enhanced Accessibility for the Disabled	Transition to New Curricular Level	Grants Recommended	Total Grants Recommended									
Formula Grants																					
Brock						34,104		23		180											
Carleton						81,461		389		1,011											
Guelph						99,702		339		2,075											
Lakeland						26,821		45		144											
Laurentian						25,051		23		104											
Algonia						1,842															
Laurentian(Algonia)						610															
Heurst						862															
McMaster						107,932		81	167		3,471		384		60		1,402	1,609	(207)	(12.9)	
Nipissing						5,677									253		9,770	121,810	122,989	(1,179)	
Ottawa						123,410		291	18,586		2,011		498		90		2,427	9,313	9,549	(236)	
Queen's						112,955					2,970		498		337		18,314	163,156	165,083	(1,927)	
Toronto						359,549					10,368		1,447		264		15,866	132,553	133,573	(1,020)	
Trent						18,084					151		23		90		22,985	395,108	400,038	(4,930)	
Waterloo						126,715					2,585		430		311		5,304	25,412	25,493	(81)	
Western						168,361					3,210		548		434		7,543	139,360	139,360	(1,776)	
Wilfrid Laurier						33,205					97		96		123		6,109	40,010	40,010	(380)	
Windsor						68,789					465		164		215		4,889	75,531	75,531	(1,009)	
York						153,434		2,188			1,147		520		90		34,344	192,179	195,691	(3,512)	
OISE						22,429					91		221		223		1,991	24,822	24,822	(73)	
Ryerson						69,597									90		2,975	72,795	74,076	(1,281)	
OCA						10,151							6		60		0	10,579	10,579	(338)	
Dominican						134									0		0	264	264	(64)	
Total						1,650,875	8,396	2,952	25,532	1,760	706	30,080	500	5,654	4,892	181,878	1,912,725	1,937,823	(25,098)	(1.3)	
CONTINGENCY PROVISION													Total OCUA allocation including contingency:					1,913,225			

1. Dominican College receives 50% funding. The theology schools, receiving 100% funding, are included with the parent institutions.

2. Bilingualism grants for affiliated institutions are included with the parent institutions.

3. The "Total Grants Recommended in 1992-93" column reflects Council's recommendations in AM 91-XII for all grants, except for the Research Overheads/Infrastructure envelope. This distribution was finalized in July, 1992, and those final grants for this envelope are reflected in this column. The \$760,000 Extraordinary Grant to Algonia in 1992-93 is also included. Not all of the 1992-93 Formula and Transition Grants that Council recommended be flowed to Heurst College were flowed to Heurst, because of the manner in which pseudo-campus enrolments were included by the Ministry and Laurentian University.

4. The distribution of the Increased Accessibility for Students with Disabilities envelope is based on a three year Moving-Average of eligible HTFs (1990-91, 1991-92 & 1992-93).

5. In comparison to the 1992-93 Formula Grants recommended in Advisory Memorandum 91-XII, 1993-94 Formula Grants change by -1.95%.

6. 1993-94 Base HOI changes by -0.007%.

7. The Formula Grant allocations for Laurentian University, Heurst College and Nipissing University are preliminary.

Table 3

Additional Qualification Related Enrolment Data, Formula Grant and Formula Fee Adjustments

Institutions	UAR Enrolment Data (1)		Data from Institutional Submissions				1993-94 AQ-Related Adjustments to:	
	Estimates of In-Service Enrolments		AQ Enrolments (2)		In-Service Enrolments (3)		Base Formula Fees (\$'000s)	Formula Grants ('000s)
	1992-93 FFTEs	1992-93 BIUs	1992-93 FFTEs	1992-93 BIUs	1992-93 FFTEs	1992-93 BIUs		
BROCK	513	1,026	513	1,026	513	1,026	427	(427)
CARLETON								
GUELPH								
LAKEHEAD	112	218	89	179	106	211	94	(94)
LAURENTIAN	310	585	266	532	266	532	257	(257)
ALGOMA								
L(ALGOMIA)								
HEARST	5	10	5	10	5	10	4	(4)
McMASTER								
NIPISSING	290	579	255	508	255	667	241	(241)
OTTAWA	817	1,634	715	1,431	823	1,645	679	(679)
QUEEN'S	385	770	379	758	379	758	320	(320)
TORONTO	1,087	2,174	1,087	2,174	1,087	2,174	903	(903)
TRENT								
WATERLOO								
WESTERN	658	1,315	550	1,101	658	1,315	546	(546)
W-LAURIER								
WINDSOR	95	142	53	79	95	143	78	(78)
YORK	2,827	5,654	1,928	3,856	2,773	5,545	2,349	(2,349)
OISE								
RYERSON								
O.C.A.								
DOMINICAN								
TOTAL	7,100	14,108	5,841	11,654	6,959	14,028	5,900	(5,900)

Notes:

(1) Non-Pre-Service Teacher Education portion of FORPOS categories 139, 141, 142 & 143 for Full & Part-Time Summer and Part-Time Fall & Winter. Source UAR Enrolment Information, Ministry of Education & Training. (2) Institutional enrolment submissions in response to request for AQ enrolment based on Schedules C, D and F under Regulation 297 of the Education Act. (3) Total in-service undergraduate teacher education enrolment including additional basic qualification courses of Schedules A & B under Regulation 297 of the Education Act.

93-V Existing and New Program Funding Reviews for Ryerson Polytechnic University¹

1.0 Introduction

In this Memorandum, the Ontario Council on University Affairs recommends on the continued funding eligibility of one existing undergraduate degree program and three new undergraduate degree programs at Ryerson Polytechnic University in accordance with the procedures for the Ryerson Program Review Process established in Advisory Memorandum 84-V, "Program Funding Procedures for Ryerson Polytechnical Institute" (see Sections 2 and 3). With regard to the proposals involving new degree programs, Council has considered the advice of its Academic Advisory Committee (see Appendices A - C):

- 2.1 - Bachelor of Applied Arts (Public Administration)
- Appendix A - Bachelor of Applied Arts (Health Services Management)
- Appendix B - Bachelor of Applied Arts (Radio and Television Arts)
- Appendix C - Diploma and Bachelor of Applied Arts (Theatre Technical Production)

Finally, in Section 4.0, Council notes Ryerson's recent change in status and makes a recommendation to the Minister accordingly.

2.0 Programs at Ryerson Polytechnic University Considered for Continued Funding Eligibility

2.1 Ryerson Polytechnic University

Program Review Process Results for the Bachelor of Applied Arts (BAA) in Public Administration in accordance with Advisory Memorandum 84-V

On January 26, 1993, Ryerson Polytechnical Institute (now Ryerson Polytechnic University) submitted the Bachelor of Applied Arts (BAA) program in Public Administration to the Ontario Council on University Affairs for a recommendation regarding continued funding eligibility. Council performed its review of the existing program based on the funding approval procedures outlined in Advisory Memorandum 84-V. Specifically, the societal need and student demand, academic quality, and financial viability of the proposed program were assessed.

Council was provided with detailed internal studies conducted by Ryerson Polytechnic University regarding the societal need for the program, its academic quality and financial viability. The results of these studies and Council's recommendation are contained below.

1. Bill 1, amending the Ryerson Polytechnical Institute Act establishing Ryerson Polytechnic University, was given Royal Assent on June 1, 1993, and was proclaimed effective June 14, 1993.

The BAA program in Public Administration at Ryerson has been in existence since 1984. It was created to provide further educational opportunities for public sector employees. As a part-time program,

[t]he curriculum features a mix of courses providing students with a broad understanding of the Canadian political process, as well as the theoretical base and practical skills necessary for responsive, effective public administration. Particular emphasis is placed on linking the theory and practice of public administration to concerns of political economy and public policy.²

Potential career opportunities for graduates include positions in the public sector as service managers, policy analysts, or administrative officers. The program also prepares students for graduate studies in related fields.

1. Societal Need and Student Demand

The societal need for this program was evaluated by a Program Review Committee (PRC) established in August, 1992. The PRC consisted of nine members drawn from: federal, provincial and municipal levels of government, public administration associations, labour groups, and public sector unions.

Data contained in the PRC report indicates that student demand for the program is consistent. Enrolment in the program has remained steady between 1988 and 1992, with the exception of 1989-1990, in which a decline in total admissions was experienced. Despite the anomaly in that year, admissions have been consistently strong. According to Fall admission figures, enrolment has grown from 60 students in 1989-90 to 124 students in 1992-93. Most recently, in January 1992, overall total enrolment in the program was 402 part-time students.

In 1991, Ryerson conducted a survey of recent graduates. Of the 64 alumni who responded to the survey, approximately 42% are employed in managerial ranks of the public service. High satisfaction was cited with the program's ability to deliver on students' personal, professional and career advancement goals. As well, a high demand was indicated for flexible program accessibility such as Spring/Summer courses, short intensive sessions, and distance education, all available in this program.

Ryerson also consulted employers, by conducting two focus groups totalling 13 public sector managers in June, 1992. The focus groups overwhelmingly agreed that continuing professional education for public servants is critical to meeting the challenges of a rapidly changing and increasingly diverse civil service³. It was indicated that widespread support exists for imparting to employees a balance of "practical" skills and ability to anticipate and manage change. Participating employer groups also stressed the need to focus on accessible education, particularly for potential students having to juggle learning, careers and family responsibilities. Overall, the focus group discussion revealed that there was strong employer support for professionally relevant accessible education in the public sector field and for a balance of theory and practice underlying the curriculum of such education⁴.

2. Ryerson Polytechnical Institute, 1992-93 Calendar, p. 258.

3. Ryerson Polytechnical Institute, Program Review Process, Public Administration Program, Academic Quality Element, "Employers' Survey, Summary Report of the Results, July 1992", pp. 54-55.

4. Ibid., p. 58.

Ryerson notes that its program is one of only two complete, focused undergraduate degree programs in Public Administration.⁵ Council recognizes the existence of somewhat similar programs. For example, Carleton University and the University of Windsor offer Bachelor and Honours Bachelor of Public Administration degrees in Public Administration. Also, York University offers a Bachelor of Arts degree in Public Policy and Administration. Furthermore, the University of Guelph and The University of Western Ontario offer Bachelor of Arts degrees in Canadian Studies and Administrative and Commercial Studies, respectively with Public Administration areas of concentration. Ryerson notes that its program is the only BAA program in Public Administration that is offered on a part-time basis in the Toronto area.

Ryerson indicates that the existing program provides education that meets the unique needs of adults already employed in the public sector in the Toronto area. Part-time evening courses are offered at a variety of locations, including off-campus government offices, making the courses physically convenient for students. This program provides a unique opportunity for life-long professional learning for adults working in the public sector.

Ryerson projects that, as a major employer in Ontario and the Greater Toronto Area, public sector demand for graduates of the program will continue. Future demand for program places is expected to rise due to the recent government emphasis on life-long learning, and the recognition by many public sector employers that tapping employees to their full potential is the key to a successful organization⁶.

This program is completely consistent with Ryerson's role of offering programs oriented toward the practical and immediately useful, and meets the demands of a public sector more conscious of the values of further education.

The PRC unanimously concluded that the Bachelor of Applied Arts program in Public Administration meets all aspects of the societal need criterion. The PRC noted, however, that the program attracted more provincial than federal employees, which is likely attributable to geographic factors. The PRC also discussed the value of implementing mentoring programs, exchange programs (currently being explored), and convening round table discussions on current issues. There was also strong encouragement for the program to play a significant role in facilitating public sector employment equity, particularly by exploring "job shadowing" and co-op placements for students, from traditionally underrepresented groups, to help them move into more advanced positions.

2. Academic Quality and Content

A review of the academic quality of the program was conducted by Ryerson's Academic Council. Ryerson notes that the program's tripartite curriculum structure includes: professional courses covering administrative functions, government structures, political processes and public policy development; professionally related courses allowing students to develop expertise in concentrated areas such as Human Resource Management, Financial Management, Communications, Information Management and Law; and liberal studies courses delving into the intellectual, cultural, social and moral traditions of the late twentieth century⁷. The report of the Academic Council notes that this curriculum "reflects a commitment to a democratic, effective and social responsive ethos of public administration."⁸ The curriculum also includes

5. *Ibid.*, "Comparison With Other University Programs, Introduction", p. 29.

6. *Ibid.*, "Employment Future Trends in Public Administration, Government Commitment to Public Sector Education", p. 35.

7. *Ibid.*, "Public Administration Program Objectives", pp. 3-4.

8. *Ibid.*, "Abstract PREP Public Administration Program", p. ii.

a practicum course allowing students an opportunity to apply their theoretical studies to their own workplace and individual work experience.

Ryerson notes that certificate and advanced certificate exit points are also offered, thereby providing students with a range of options for continuing their education.

Library holdings were deemed to be adequate to support the continuation of the program. The librarian's report emphasized the significant amount of Canadian content in the available resources, and the numerous government documents in their collection.

Ryerson reports that the program faculty have strong academic credentials, have received many teaching awards, are well published, and are particularly strong in applied research. The learning experience gained in the program by students is argued to be enhanced by a mix of instructors, including external practitioners and academics/non-academics from other areas within Ryerson.

The Academic Standards Committee, of the Ryerson Academic Council, reaffirmed the academic quality of the program of studies leading to the Bachelor of Applied Arts program in Public Administration in November, 1992. The Academic Council reaffirmed the academic quality of the program on November 3, 1992.

3. Financial Viability

The Board of Governors of Ryerson Polytechnic University considered the financial viability of the Bachelor of Applied Arts program in Public Administration. After reviewing the documentation pertaining to financial soundness, program contribution to University overhead, financial viability data and steady-state projections in constant dollars, on January 8, 1993, the Finance Committee endorsed the financial viability of the program. The recommendation was accepted by the Board of Governors at its meeting on January 25, 1993, at which it formally attested to the financial viability of the program.

4. Recommendation

By letter of January 26, 1993, Ryerson informed OCUA that the Bachelor of Applied Arts program in Public Administration was positively reviewed with respect to its continuation on the basis of societal need, academic quality and financial viability. The President of Ryerson, therefore, formally requested, on behalf of Ryerson, that Council recommend to the Minister that the Bachelor of Applied Arts program in Public Administration be deemed eligible for continued funding.

Council concurs with the PRC's assessment of the Public Administration program.

Council, having carefully reviewed the documentation regarding the Bachelor of Applied Arts program in Public Administration, is satisfied that Ryerson has thoroughly considered all aspects of the societal need, academic quality and financial viability of the program, and that the program meets Council's criteria for continued funding eligibility.

Accordingly, Council *recommends to the Minister:*

OCUA 93-46

CONTINUED ELIGIBILITY OF ENROLMENT IN THE EXISTING BACHELOR OF APPLIED ARTS DEGREE PROGRAM IN PUBLIC ADMINISTRATION AT RYERSON POLYTECHNIC UNIVERSITY FOR FUNDING PURPOSES

THAT enrolment in the Bachelor of Applied Arts (Public Administration) degree program continue to be deemed eligible for counting for funding purposes.

3.0 New Degree Programs at Ryerson Polytechnic University Considered for Funding Eligibility

Council accepts the Academic Advisory Committee's advice with respect to Ryerson Polytechnic University's request for funding eligibility for three degree programs including Health Services Management, Radio and Television Arts and Theatre Technical Production.

The proposed programs have been reviewed under Ryerson's Program Review Process as set out in Advisory Memorandum 84-V. Council notes the effectiveness of this process as a means of determining whether a new program is an appropriate program for Ryerson.

Accordingly, Council *recommends to the Minister:*

OCUA 93-47

ELIGIBILITY OF ENROLMENT IN THE DEGREE COMPLETION PROGRAM IN HEALTH SERVICES MANAGEMENT AT RYERSON POLYTECHNIC UNIVERSITY FOR FUNDING PURPOSES

THAT enrolment in the Bachelor of Applied Arts (Health Services Management) degree program be deemed eligible for funding purposes.

OCUA 93-48

ELIGIBILITY OF ENROLMENT IN THE FOUR-YEAR DEGREE PROGRAM IN RADIO AND TELEVISION ARTS AT RYERSON POLYTECHNIC UNIVERSITY FOR FUNDING PURPOSES

THAT enrolment in the Bachelor of Applied Arts (Radio and Television Arts) four-year degree program be deemed eligible for funding purposes.

OCUA 93-49

ELIGIBILITY OF ENROLMENT IN THE DIPLOMA AND DEGREE PROGRAMS IN THEATRE TECHNICAL PRODUCTION AT RYERSON POLYTECHNIC UNIVERSITY FOR FUNDING PURPOSES

THAT enrolment in the Diploma and Bachelor of Applied Arts (Theatre Technical Production) degree programs be deemed eligible for funding purposes.

4.0 Review of the Program Approval Process for Ryerson Polytechnic University

Council notes Ryerson's recent change in status from a "polytechnical institute" to a "polytechnic university". Council recognizes the need for a review of all Advisory Memoranda associated with Ryerson's status and program review policy. These include, but are not limited to, Advisory Memoranda 78-VI, 80-IV, 84-V, 87-X and 91-VII.

Accordingly, Council *recommends to the Minister:*

OCUA 93-50

*POLICIES ESTABLISHING THE PROGRAM APPROVALS PROCEDURES AND
MECHANISM FOR RYERSON PROGRAMS*

THAT all policies establishing the program approvals procedures and mechanism for Ryerson programs be reviewed by Council.

Joy Cohnstaedt,
Chair

July 23, 1993

Appendix A

Ryerson Polytechnic University

**Program Review Process Results
for a New**

**Bachelor of Applied Arts (BAA)
Degree Completion Program
in**

**Health Services Management
in accordance with**

Advisory Memorandum 84-V

On February 23, 1993, Ryerson Polytechnical Institute (now Ryerson Polytechnic University), submitted the proposal for a Bachelor of Applied Arts degree completion program in Health Services Management to the Ontario Council on University Affairs for a recommendation regarding funding eligibility. Council then referred the request to the Academic Advisory Committee for consideration. The Committee was asked to assess the proposed degree program based on the funding approval procedures outlined in Advisory Memorandum 84-V. Specifically, AAC was asked to provide advice to Council on the societal need and student demand, academic quality, and financial viability of the proposed program.

AAC was provided with detailed studies conducted by Ryerson Polytechnic University regarding the societal need for the program, its academic quality and financial viability. The results of these studies and AAC's recommendation are contained below.

1. Societal Need and Student Demand

The proposed program is a part-time two-year degree completion program "designed to allow health practitioners to upgrade their education to the level of an undergraduate degree in the theory and management of health services."¹ Students entering the program must hold a three-year community college diploma, or equivalent, in a health technology or allied health profession, and have a minimum of two years professional experience in the health field. Graduates are expected to obtain positions in lower and middle management working in health facilities or in the community.

Information on societal need for the proposed program was provided by Ryerson's Program Review Committee (PRC) established in December, 1992. The PRC consisted of eight members drawn from government, hospitals, the academic community, community health organizations and health associations.

Current and anticipated market need for the proposed program was demonstrated through the following:

- a reference to the management challenges posed by a rapidly evolving and increasingly complex health system;
- a trend toward professional development and upgrading in the allied health professions in Canada and internationally;

1. Ryerson Polytechnical Institute, Program Review Process, Health Services Management, Societal Need Element, "Executive Summary", p. ii.

- the results of a series of surveys of health administrators, employers and practitioners conducted in Canada over a period of about 15 years which consistently reveal a need for management skills and knowledge, as well as support for accredited undergraduate education in the field;
- a lack of accredited undergraduate education opportunities in Health Services Management...; and
- a substantial and regenerating pool of qualified applicants for such a program in Ontario.²

The PRC determined that changes have occurred in the last two decades that have fundamentally altered the roles for health care practitioners. Trends toward health promotion and community-based care, "client-centred" care, and community control of health services provisions have contributed to the need for the provision of cost-effective, client-centred health services. As well, the expansion of the technological base of health services requiring more specialized and technical education has contributed to the changing needs of the health sector.

The PRC concluded that a strong need for Health Services Management education exists which is not being provided through the educational opportunities now available. No other two-year degree completion program in Health Services Management is offered in Canada.

A survey conducted by Ryerson and the Michener Institute in 1991 revealed that the proposed program would fulfil a need in the Toronto area for a part-time degree program in the field. The PRC agreed that

[t]he proposed Health Services Management program at Ryerson would begin to fill the gap; it would be the only university-accredited, undergraduate degree program in Canada focused on the specific characteristics and requirements of health services providers. As a part-time degree with a practical component, it would make a strong contribution to the field.³

Specific positions for graduates include: administrative assistant; head nurse or nursing supervisor; radiology, laboratory, chiropody or food services supervisor; administrator or director of care in a long-term care setting; and coordinator of community-based services. The 1991 survey also indicated that strong support for continuing professional education for employees exists among potential employers in the field. Specifically, the survey results revealed that

[e]ight in ten (81.1%) of employers indicated that they would reimburse employees for the full cost of accredited courses; a large majority (86.6%) indicates they would partially reimburse their employees for such courses; 75.6% and 89.0% respectively would give unpaid and paid time off; 63.2% and 41.1% say they would recognize continuing professional education with job upgrades and salary increases.⁴

2. Ibid., p. 18.

3. Ibid., p. 28.

4. Ibid., p. 26.

AAC notes that letters were also received testifying to the societal need for graduates with the skills offered by the proposed Health Services Management program. For example, the President of the Hospital Council of Metropolitan Toronto states:

My support and approval for the degree completion program in Health Services Management includes my agreement that there is a demonstrated societal need to provide a sufficient pool of students for this program, and an agreement that this program will generate graduates who will be acceptable and employable within the health care system as it is evolving in Ontario and elsewhere in Canada.⁵

Student demand for the proposed program is expected to be strong. The PRC determined that the pool of potential students includes diploma graduates in the following fields: Nursing, Medical Lab Technology, Respiratory Therapy, Nuclear Medicine and Chiropody. Ryerson indicates that, in 1990, there were 88,320 diploma graduates in Ontario in these fields.

Projected enrolment figures indicate that 45 students will be enrolled in year-one of the program, and a steady-state total enrolment of 186 students is expected to be reached in 1997-98. Ryerson projects that approximately 25 students per year will graduate from the proposed program commencing in 1997-98.⁶

AAC notes that the proposed program fits with the professional trend toward upgrading and contributes to a better articulation between college and university education.

AAC concludes that the Bachelor of Applied Arts program in Health Services Management meets all aspects of the societal need criterion.

2. Academic Quality and Content

The academic quality of the proposed program was assessed by Ryerson's Academic Council. The report of the Academic Council included the objectives of the program, the proposed curriculum, methods of instruction and admission, and promotion criteria. The program curriculum was developed with the assistance of an external curriculum advisory committee comprised of individuals employed in the field. The proposed BAA program in Health Services Management aims to build on a foundation of professional education and experience in the health field by providing the opportunity for a number of college-trained health professionals to upgrade to degree status, and prepare those individuals for careers which balance clinical service delivery with managerial responsibility. Ryerson indicates that the program "can be conceptualized as constituting the third and fourth years of a four-year program which combines skills and knowledge in health services provision with skills and knowledge in health services management."⁷

Existing facilities, equipment, computing resources and library resources were determined to be adequate to support the proposed program. AAC notes that a December 1992 report prepared by the Librarian, Health Sciences, indicates that although the proposed program will be able to draw on existing collections, the Health Services Management program will also need

5. Letter to Mr. Milton Orris, Dean, Continuing Education Division, Ryerson Polytechnical Institute, from Mr. Paul A. W. Gamble, President, Hospital Council of Metropolitan Toronto, January 7, 1993.

6. Additional information received from Ryerson Polytechnical Institute, Academic Planning and Research Unit, May 6, 1993.

7. Ryerson Polytechnical Institute, Program Review Process, Health Services Management, Academic Quality Element, p. 18.

a specific budget commitment to build, maintain and enrich the collection in the subject areas unique to the program.⁸

The Academic Standards Committee of the Ryerson Academic Council attested to the academic quality of the proposed program. Ryerson's Academic Council approved the new degree program on academic grounds on February 2, 1993.

3. Financial Viability

The Board of Governors of Ryerson Polytechnic University considered the financial viability of the Bachelor of Applied Arts program in Health Services Management. After reviewing documentation pertaining to financial soundness, program contribution to University overhead, financial viability data, and steady-state projections in constant dollars, on January 18, 1993, the Finance Committee endorsed the financial viability of the program. AAC notes that the recommendation was accepted by the Board of Governors at its meeting on February 22, 1993, at which it formally attested to the financial viability of the program.

4. External Comments

Following the procedures used for reviewing undergraduate professional and quasi-professional programs in health science fields at Ontario universities, OCUA forwarded the program to the Council of Ontario Universities (COU) and the Ministry of Health for comment. AAC reviewed these comments and determined that the Ministry of Health supports the development of the proposed program. Similarly, the majority of institutions in the Ontario university system indicated support for the proposed Health Service Management program.

However, some institutions registered concerns regarding the societal need and student demand for the program given the existence of four-year and two-year post-diploma degree programs in Nursing. As well, the impact of the proposed program on these Baccalaureate programs was raised as an area of concern. AAC notes that the Health Service Management program is targeted to diploma graduates of the allied professions as well as Nursing. The proposed program offers a unique opportunity for a number of health professionals to continue their education in their field and enhance health management skills and knowledge. As stated by the Dean and Vice-President of the Faculty of Health Sciences at McMaster University:

In addition to meeting societal needs, student demand and having no negative impact on existing programmes, I believe this model serves as an example wherein universities and colleges work more closely together to ensure the continuum of education and lifelong learning is more appropriately met by public institutions of Ontario. I strongly support the approval of the proposal for a Bachelor of Applied Arts in health services management put forward by Ryerson Polytechnical Institute.⁹

AAC believes that the proposed program is in step with the increased focus on improved management of health care, and that students and society can benefit from an additional route of continuing education in this field.

8. *Ibid.*, "Library Resources Report", p. 10.

9. Letter from Mr. John Bienstock, Dean and Vice-President, Faculty of Health Sciences, McMaster University to Ms. Joy Cohnstaedt, Chair, Ontario Council on University Affairs, May 25, 1993.

5. Recommendation

By letter of February 23, 1993, Ryerson informed OCUA that the Bachelor of Applied Arts program in Health Services Management was positively reviewed on the basis of societal need, academic quality and financial viability. The President of Ryerson, therefore, formally requested, on behalf of Ryerson, that OCUA recommend to the Minister that the Bachelor of Applied Arts program in Health Services Management be deemed eligible for funding.

AAC, having carefully reviewed the documentation regarding the Bachelor of Applied Arts program in Health Services Management, is satisfied that Ryerson Polytechnic University has thoroughly considered all aspects of the need, quality and financial viability of the program and that the program meets OCUA's criteria for funding eligibility.

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

The Ontario Council on University Affairs recommend to the Minister that enrolment in the Bachelor of Applied Arts (Health Services Management) degree program be deemed eligible for counting for funding purposes.

Academic Advisory Committee

June 2, 1993

Ryerson Polytechnic University
Program Review Process Results
for the
Bachelor of Applied Arts (BAA)
Request for a Change from a Three-Year
to a Four-Year Degree Program
in
Radio and Television Arts
in accordance with
Advisory Memorandum 84-V

On January 26, 1993, Ryerson Polytechnical Institute (now Ryerson Polytechnic University) submitted the proposed Bachelor of Applied Arts degree program in Radio and Television Arts to the Ontario Council on University Affairs for a recommendation regarding funding eligibility. Council then referred the request to the Academic Advisory Committee for consideration. The Committee was asked to assess the existing three-year degree program and the request for a change to a four-year degree program based on the funding approval procedures outlined in Advisory Memorandum 84-V. Specifically, AAC was asked to provide advice to Council on the societal need and student demand, academic quality, and financial viability of the proposed four-year degree program.

AAC was provided with detailed studies conducted by Ryerson Polytechnic University regarding the societal need for the existing three-year and proposed four-year degree programs, their academic quality and financial viability. The results of these studies and AAC's recommendation are contained below.

1. Societal Need and Student Demand

The Bachelor of Applied Arts program in Radio and Television Arts is designed to prepare students for a wide variety of tasks which make up the profession of broadcasting, the general field of communications, and the special niches of education programming and corporate communications.¹ These include training and experience in the following areas: Radio (Sound Production), Television Production, Script Writing, Performance, Research, Management, Production Planning, Broadcast Advertising, Promotion and Audio Visual Applications. The proposed change from a three-year degree program to a four-year degree program will continue to train graduates for careers in these fields, while incorporating into the curriculum a broader range of courses and providing graduates with greater access to advanced degrees. Ryerson also indicates that the proposed program change will bring the Radio and Television Arts degree program more in phase with other degree programs in the field and with other degree programs at Ryerson.

Information on the societal need for the degree program was provided by Ryerson's Program Review Committee (PRC) established in the Fall of 1992. The PRC consisted of eight members drawn from the communications industry, business, related associations, television networks and radio stations.

Current and anticipated market need for graduates in the field was determined through an examination of employer and alumni survey data as well as comments made by employers

1. Ryerson Polytechnical Institute, Program Review Process, Radio and Television Arts, Academic Quality Element, p. 9.

regarding Ryerson's Radio and Television Arts graduates. AAC notes that graduates of the current three-year Radio and Television Arts program are employed in a variety of fields. An alumni survey conducted by Ryerson in 1992 revealed that of the 1,657 surveyed graduates who responded, 42% identified themselves as working in the telecommunications industry, 10% described their profession within the context of "motion picture or audio/video production", and 8% indicated that they were employed in post-secondary education. A 1992 employer survey revealed that graduates of the Radio and Television Arts program are viewed positively by employers in the field. As stated by the Director of News Programming at CITY-TV:

The Ryerson graduates we encounter seem to be both well trained and motivated... The graduates we have on staff here at CITY have not disappointed us. Ryerson has the capability to produce graduates with a depth and understanding for the larger issues. Along with a quality production vocabulary the Ryerson curriculum ensures a sensitivity to the complexities of life through an emphasis on liberal arts. Generally, the Ryerson graduate has something to communicate beyond the use of the camera or expertise in the control room. It seems that Ryerson acknowledges the social responsibility inherent to the profession.²

Similarly, the President and CEO of the Canadian Advertising Foundation had the following comments regarding Ryerson Radio and Television Arts graduates:

What has always impressed me about Ryerson RTA is the commitment to match student training with the evolving employment opportunities; to equate curriculum with industry needs, and to attach the importance of knowing how to operate the technical skills to the prospect of managing diverse opportunities in communications.³

The PRC considered the question of employment opportunities for graduates of the proposed four-year program and determined that an additional year of study would expand the potential employment and career opportunities for graduates. Specific comments made by members of the PRC support the arguments made by Ryerson for the change to a four-year degree program. For example, the General Manager of Copyright Collective of Canada states:

With respect to the expansion of the RTA program from three to four years this step is necessary to permit RTA graduates to continue into post-graduate studies. Furthermore an additional year will produce graduates who are even more desirable as mature, well-equipped potential employees.⁴

AAC notes that similar programs exist at York University, which offers a degree program in Film and Video Studies and a joint degree program with Seneca College in Communication

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2. Ryerson Polytechnical Institute, *Program Review Process, Radio and Television Arts, Societal Need Element*. "Comments made by Mr. Stephen Hurlbut, Director of News Programming, CITY-TV, through an Employer Survey Conducted in 1991-92", p. 55.
 3. *Ibid.*, "Comments made by Mr. John Coleman, President and CEO of the Canadian Advertising Foundation, in an Employer Survey Conducted in 1991-92", p. 55.
 4. Letter to Ryerson Polytechnical Institute from Ms. Susan J. Peacock, General Manager, Copyright Collective of Canada, November 4, 1992.

Arts. The University of Windsor also offers a degree program in Communication Studies in Media Practices.

Student demand for the proposed four-year Bachelor of Applied Arts program in Radio and Television Arts is expected to be strong. In 1991, there were approximately three qualified applicants for every year-one student place in the program. Ryerson indicates that it does expect a slight decline in the number of applicants for the proposed four-year program.

Projected enrolment figures indicate that a reduction in the year-one in-take level from approximately 150 year-one students under the existing three-year program to 124 year-one students is expected under the four-year program. Ryerson estimates, however, that the steady-state total enrolment is expected to increase slightly to 440 students from approximately 433 under the three-year program. It is estimated that 95 students will graduate from the proposed four-year program each year beginning in 1995-96.⁵

AAC concludes that societal need exists for a Bachelor of Applied Arts degree program in Radio and Television Arts and that the proposed four-year program meets all aspects of the societal need criterion.

2. Academic Quality and Content

The academic quality of the existing three-year and the proposed four-year degree programs was assessed by Ryerson's Academic Council. The report of the Academic Council included the objectives of the program, the proposed curriculum, methods of instruction and admission and promotion criteria.

Ryerson indicates that ongoing curriculum changes have been made to the three-year curriculum, since the 1983 program review was conducted, as a result of changes which have occurred in the communications industry and the placements achieved by program graduates. Some of these changes include: an academically-accredited internship course for above average students, a research course on issues in the communications industry, and a transition in the writing and management course to allow students to emulate practices in the field. The additional fourth year in the proposed program is expected "to provide students with an opportunity to emulate current practice in the industry while continuing to explore aesthetic principles and theoretical advances which are transforming this complex industry."⁶ The curriculum of the proposed four-year program is described as follows:

The wide ranging curriculum prepares students with a theoretical base drawn from the liberal arts literature and the professional practices of the communications industry. A variety of projects in the practical courses apply the theory to effectively communicate ideas using existing and new media.

The major change found in the curriculum design is the increased range of liberal studies and professionally related courses which assist them in applying their skills and knowledge to a series of fourth year projects which will be telecast, datacast and broadcast across the country.⁷

5. Additional Information received from Ryerson Polytechnical Institute, Academic Planning and Research Unit, May 6, 1993.

6. Op.cit., "Societal Need Element", p. 12.

7. Op.cit., "Academic Quality Element", p. 5.

The Academic Council reports that the space for the proposed four-year program is now sufficient. Previously, space constraints inhibited program developments and, in particular, the addition of a fourth year. As Ryerson describes, with the recent opening of the Rogers Communications Centre, the School of Radio and Television Arts now "has the capacity to propose changes to the curriculum which will provide students with a richer mix of theoretical and practical opportunities".⁸

A report prepared by the subject librarian indicates that library holdings were deemed adequate to support the Radio and Television Arts degree program.

The Academic Standards Committee of the Ryerson Academic Council reaffirmed the academic quality of the program leading to the proposed four-year Bachelor of Applied Arts program in Radio and Television Arts in November 20, 1992. The Academic Council approved the four-year degree program on academic grounds on November 26, 1992.

3. Financial Viability

The Board of Governors of Ryerson Polytechnic University considered the financial viability of the four-year Bachelor of Applied Arts program in Radio and Television Arts. After reviewing the documentation pertaining to financial soundness, program contribution to University overhead, financial viability data, and steady-state projections in constant dollars, on January 18, 1993, the Finance Committee endorsed the financial viability of the four-year program. The Finance Committee's recommendation was accepted by the Board of Governors at its meeting on January 25, 1993, at which time it formally attested to the financial viability of the program. AAC notes that a minimal increase in expenditure will result from the addition of a fourth year, given that most of the work done in this year is student-initiated, with faculty acting as advisors.

4. External Comments

Following the procedures used for reviewing undergraduate professional, quasi-professional and special programs at Ontario universities, OCUA forwarded the proposed program change to the Council of Ontario Universities (COU) for comment. AAC reviewed these comments and determined that of the nine institutions commenting on the program, six had no objection, two had no comment and one expressed criticism as to the necessity of a four-year as opposed to a three-year program.⁹

AAC considered the negative comments made by Ontario institutions regarding the current economic climate and its effect on the employment possibilities for graduates. However, AAC did not find these observations persuasive reasons against the expansion of the existing three-year program to a four-year model. AAC believes that the argument made by Ryerson regarding the better preparation of graduates, through four years rather than three years of education, is a valid argument.

5. Recommendation

By letter of January 26, 1993, Ryerson informed OCUA that the existing three-year and the proposed four-year Bachelor of Applied Arts programs in Radio and Television Arts were positively reviewed on the basis of societal need, academic quality and financial viability. The President of Ryerson, therefore, formally requested, on behalf of Ryerson, that Council

8. Op.cit., "Societal Need Element", p. 11.

9. Letter from Dr. Peter George, President, Council of Ontario Universities, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 1, 1993.

recommend to the Minister that the four-year Bachelor of Applied Arts program in Radio and Television Arts be deemed eligible for funding.

AAC, having carefully reviewed the documentation regarding the four-year Bachelor of Applied Arts program in Radio and Television Arts, is satisfied that Ryerson Polytechnic University has thoroughly considered all aspects of the need, quality and financial viability of the program and that the program meets OCUA's criteria for funding eligibility.

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

The Ontario Council on University Affairs recommends to the Minister that enrolment in the four-year Bachelor of Applied Arts (Radio and Television Arts) degree program be deemed eligible for counting for funding purposes.

Academic Advisory Committee

June 2, 1993

Appendix C

Ryerson Polytechnic University
Program Review Process Results
for a Diploma
and New
Bachelor of Applied Arts (BAA)
in
Theatre Technical Production
in accordance with
Advisory Memorandum 84-V

On January 26, 1993, Ryerson Polytechnical Institute (now Ryerson Polytechnic University) submitted the diploma and new Bachelor of Applied Arts degree programs in Theatre Technical Production to the Ontario Council on University Affairs for a recommendation regarding funding eligibility. Council then referred the request to the Academic Advisory Committee for consideration. The Committee was asked to assess the existing diploma program and the request for a new degree program based on the funding approval procedures outlined in Advisory Memorandum 84-V. Specifically, AAC was asked to provide advice to Council on the societal need and student demand, academic quality and financial viability of the diploma and Bachelor of Applied Arts degree programs in Theatre Technical Production.

AAC was provided with detailed studies conducted by Ryerson Polytechnic University regarding the societal need for the diploma and Bachelor of Applied Arts degree programs, their academic quality and financial viability. The results of these studies and AAC's recommendation are contained below.

1. Societal Need and Student Demand

A three-year diploma program in Theatre Technical Production is currently offered by Ryerson. The proposed degree program is structured according to the Ryerson diploma/degree continuum model. The existing diploma program is designed to train technicians and craftspersons for entry-level positions in the field, while the proposed degree program is designed to produce skilled theatre professionals capable of managing in a production environment or pursuing graduate studies. Ryerson indicates that the majority of students enrolled in the program are expected to pursue the proposed four-year degree option.

Although most students can be expected to complete the degree, it is anticipated that the diploma will continue to be an attractive option to a small minority whose aspirations tend in a more narrow vocational direction. The student who may aspire to be a stage hand, a rigger, a lighting operator, carpenter or sewer may continue to find that three years of training leading to a diploma is sufficient preparation for these limited career pursuits.

The majority of students are likely to view these as entry-level positions only. Aspiring to careers as stage and production managers, technical directors, set and lighting designers, wardrobe cutters and supervisors, administrators, etc., or to more

commercial employment opportunities will be enhanced by the specific content of the fourth year of the curriculum.¹

Information on the societal need for the diploma and Bachelor of Applied Arts degree programs was provided by the Program Review Committee (PRC) established in 1991. The PRC consisted of 10 members drawn from theatres in Ontario, related associations, business and the Ontario Arts Council.

Current and anticipated market needs were determined through a review of recent studies and surveys pertaining to the needs of the performing arts and live entertainment sector in Canada. Ryerson describes the arts and entertainment sector as "a diversified, technologically-sophisticated and labour-intensive industry that is experiencing unprecedented growth."² A 1988 study conducted by Ryerson's Academic Planning and Research Unit revealed that employment opportunities for arts professionals will expand in this sector into the 1990s.³ Similarly, a 1989 study of commercial theatre in Ontario projects a period of radical growth in the area of dramatic comedic work, musical cabarets, dinner theatre, industrial shows, murder mysteries and large-scale musicals produced for profit.⁴ Toronto was also determined to be the location for an overwhelming majority of commercial theatre productions. Ryerson argues that the proposed four-year degree program will respond to the growing artistic, technological and managerial needs of this expanding industry, and its demand for well-educated professionals possessing a general, comprehensive knowledge of theatre production together with specialization in one or more specific areas.

Theatre Technical Production degree graduates are expected to obtain entry-level technical positions in the field upon graduation. With the additional emphasis on business, management, communication and computer skills in the proposed four-year program, Ryerson argues that degree graduates are expected to advance rapidly into positions of fiscal and managerial responsibility.⁵

A recent survey of 123 potential employers provided confirmation that a future need for personnel educated in the field exists. Approximately two-thirds of the respondents defined the need for individuals, skilled in technical production, over the next five to ten years as "strong". Areas of employment, in which future demand was projected to be high for the industry as a whole, are as follows: production management (83%), stage management (78%), administration, sales and marketing (78%), lighting technicians (75%), technical direction (73%), carpentry (71%) and properties (71%). When asked to comment specifically on the societal need for a four-year degree program in Theatre Technical Production, employers in the field had the following example comments:

From our point of view more students need to understand the workings, behaviours and attitudes of the Corporate/Business world. Industrial shows are becoming an

1. Ryerson Polytechnical Institute, Program Review Process, Theatre Technical Production, Societal Need Element, p. 4. 1.

2. Ibid., p. 1.1.

3. Ibid., p. 1.1.

4. Ibid., p. 1.3., "Where Angels Fear to Tread" by Graeme Page Associates, p. 1.3.

5. Ibid., p. 1.4.

ever-increasing well-paid job market for those students willing to work hard and consider their business and "business"...Many doors can be open industry-wide.

Joy Parker Blackwood, Vice President, Thoron Productions Ltd.
(Producer of industrial shows for General Motors, etc.)⁶

I feel there is a great need for Production Managers and Technical Directors with both practical and management experience or training.

Douglas Lemcke, Director of Production, Shaw Festival.⁷

Ryerson argues that the proposed degree program offers the only integrated four-year professional training program in Technical Production in Canada. AAC notes that the University of Windsor offers a BFA program in Dramatic Art: Acting and Music, while York University offers a BA in Theatre Studies and BFA programs in Theatre with options in Theatre Studies, Acting, Direction and Production.

Student demand for the diploma and Bachelor of Applied Arts programs is expected to be steady. Application data for the existing diploma program reveal that, between 1985 and 1990, the number of qualified applicants fluctuated between 50 and 57 for approximately 45 student places.

Projected enrolment figures indicate that year-one entry levels are expected to remain steady at approximately 48 students. With the addition of a fourth year, steady-state total enrolment figures for the Theatre Technical Production program are expected to grow to an estimated level of 128 students. Ryerson projects that approximately 18 students will graduate from the proposed degree program commencing in 1995-96.⁸

AAC concludes that the diploma and Bachelor of Applied Arts degree programs in Theatre Technical Production meet all aspects of the societal need criterion.

2. Academic Quality and Content

The academic quality of the diploma and Bachelor of Applied Arts degree programs was assessed by Ryerson's Academic Council. The report of the Academic Council included the objectives of the programs, the proposed curriculum, methods of instruction and admission, and promotion criteria. As described by Ryerson, the purpose of the Theatre Technical Production program is to

...provide students with a broad theoretical and practical understanding of all facets of production work in the performing arts, together with specialized training in the area of costume, lighting, sound, scenic construction, stage management and administration.⁹

6. *Ibid.*, "Survey Comments", p. 7.11.

7. *Ibid.*, p. 7.12.

8. Additional information received from Ryerson Polytechnical Institute, Academic Planning and Research, May 6, 1993.

9. *Ibid.*, p. 1.7.

AAC notes that an important focus of the curriculum planning for the degree proposal was to lighten the workload for students in order that they could devote the time necessary for every component of the program. Students enrolled in the proposed degree program will have more time available (than students enrolled in the diploma program) to devote to production assignments.

A report prepared by the librarian, Communication Arts and Literature, indicates that the library holdings were deemed adequate to support the program. Space and computing resources were also reviewed by the PRC.

The Academic Standards Committee of the Ryerson Academic Council affirmed the academic quality of the program of studies leading to the diploma and Bachelor of Applied Arts programs in Theatre Technical Production in December, 1991. The Academic Council approved the new degree program, on academic grounds, on December 3, 1991.

3. Financial Viability

The Board of Governors of Ryerson Polytechnic University considered the financial viability of the diploma and Bachelor of Applied Arts programs in Theatre Technical Production. After reviewing the documentation pertaining to financial soundness, program contribution to University overhead, financial viability data and steady-state projections in constant dollars, on January 13, 1992, the Finance Committee endorsed the financial viability of the programs. AAC notes that the recommendation was accepted by the Board of Governors at its meeting on January 27, 1992, at which it formally attested to the financial viability of the programs.

4. External Comments

Following the procedures used for reviewing undergraduate professional, quasi-professional and special programs at Ontario universities, OCUA forwarded the programs to the Council of Ontario Universities (COU) for comment. AAC reviewed these comments and determined that of the nine institutions which responded, five were fully supportive of the proposal, one expressed qualified support, one expressed reservations, one was opposed and one had no comment.

Some concerns were registered by institutions regarding the societal need for graduates in the field, given the downturn in the economy. Also, one institution expressed concern regarding Ryerson's use of 1988 and 1989 studies to project future employer demand. AAC reviewed the societal need information provided by Ryerson, and noted that employment projections for the 1990s were part of the referenced studies. AAC believes that, despite the downturn in the Ontario economy, demand exists in the arts and entertainment field for graduates of the proposed program.

AAC also noted comments received from COU regarding the overlap between the proposed program and other similar programs in the system. AAC believes that, although some overlap in course offerings exists with other BFA programs in the system, the focus of the proposed Theatre Technical Production program is different. Specifically, the program proposed by Ryerson is applied arts and areas of concentration are of a technical nature. Graduates of the proposed program are provided with technical expertise in areas of production, technical directing, wardrobe and administration. BFA program graduates will generally receive a broader education and are more likely to pursue careers in such areas as general production, directing and script-writing. Although Ryerson and other institutions offering BFA programs will be drawing on a pool of students with similar fields of interest, AAC believes that the difference in program focus will distinguish the Ryerson program from BFA and BA programs in the Toronto area.

5. Recommendation

By letter of January 26, 1993, Ryerson informed OCUA that the diploma and Bachelor of Applied Arts programs in Theatre Technical Production were positively reviewed on the basis of societal need, academic quality and financial viability. The President of Ryerson, therefore,

formally requested, on behalf of Ryerson Polytechnic University, that OCUA recommend to the Minister that the diploma and Bachelor of Applied Arts programs in Theatre Technical Production be deemed eligible for funding.

AAC, having carefully reviewed the documentation regarding the diploma and Bachelor of Applied Arts programs in Theatre Technical Production, is satisfied that Ryerson Polytechnic University has thoroughly considered all aspects of the societal need, quality and financial viability of the programs, and that the programs meet OCUA's criteria for funding eligibility.

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

The Ontario Council on University Affairs recommend to the Minister that enrolment in the Diploma and Bachelor of Applied Arts (Theatre Technical Production) degree programs be deemed eligible for counting for funding purposes.

Academic Advisory Committee

June 2, 1993

93-VI Academic Quality Reviews

Summary

The Ontario Council on University Affairs has been asked to provide advice on whether and how to establish a system of program review as a means of ensuring public accountability for academic quality in provincially-assisted universities.¹ Council issued two working papers on this issue, followed in each case by public hearings in which stakeholders presented a broad range of views.

After taking account of these views, after being further informed by the final report of the Task Force on University Accountability, and after its own deliberations, Council recommends in this Advisory Memorandum a process guided by three fundamental principles:

1. The quality of academic programs must not only be monitored; it must be **seen by the public to be monitored**; thereby responding, in part, to growing demands from government, employers, students and parents for increased public accountability of universities.
2. The process must not merely confirm existing levels of quality, but must create opportunities for **maintaining and improving quality**, especially in students' learning experiences and outcomes.
3. The process should be based on "**monitored self-regulation**", in which the system for reviewing the quality of undergraduate programs is conducted by and specific to each institution, and is subject to audit by an independent body whose members are publicly appointed.

Hence, with respect to undergraduate programs, Council recommends a system of monitored self-regulation with the following characteristics:

Institutional Reviews

- Each university should be required to conduct periodic formal reviews of all undergraduate programs, at least once every ten years, with the objective of systematically improving the quality of the student's learning experience.
- Each university should be required to file a copy of its institutional review procedures with Council for comment.
- Council is not recommending a standardized, detailed review process for all institutions to follow, and has not attempted to define province-wide minimum quality standards at this time. Rather, each institution will be expected to define an institutional standard of quality, including appropriate performance indicators. The relevant performance indicators associated with the quality of academic programs, identified in the May, 1993 final report of the Task Force on University Accountability, should form the minimum set of indicators used to review all programs. In addition, the Advisory Memorandum specifies for all reviews a

1. "Provincially-assisted universities" include all universities and university-related institutions in receipt of funding from the Government of Ontario.

number of other minimum requirements, which will form the framework within which monitoring can occur.

- The definition of the unit to be reviewed should be left to each institution provided the unit is the lowest reasonable aggregation of academic programs with which **students** would most likely be expected to identify and relate to; that is, for example, the History Department rather than the Faculty of Arts in most large, multi-faculty institutions.
- Consistent with recommendations of the Task Force on University Accountability, Council recommends that the ultimate responsibility in each institution, for ensuring that the review process is properly conducted be vested in the governing body (as defined by the Task Force). This advice assumes that Government will implement the recommendations of the Task Force so that the governing bodies are representative of all appropriate stakeholders and have sufficient information and authority to carry out such responsibility. In the event that Government does not implement the advice of the Task Force concerning the composition of governing bodies, the issue of the appropriate accountability for the quality review system should be referred back to Council.
- The results of each review must be made public, in a form to be determined by each institution's governing body.

Periodic Academic Quality Audits

- Council, through a newly-created Academic Quality Audit Committee, should conduct periodic audits of the review process at each institution, on a seven-year cycle, ensuring that every institution is audited at least once during the first cycle.
- The Academic Quality Audit Committee should consist of six members, all of whom must have experience in evaluation: three faculty members from Ontario universities who, taken together, have distinguished careers in research, scholarship, teaching and the evaluation of teaching; and three non-faculty members who are not currently affiliated with an Ontario university but who have personal experience with university operations.
- The Audit Committee will: review and comment on each university's institutional review procedures, including the published form of the results; audit a sample of each institution's review, by assessing the effectiveness of the review process in identifying strengths and weaknesses leading to an improvement in quality; and prepare an annual report commenting on the effectiveness of the review procedures and proposing necessary changes. Council recommends that the reports of the committee become public when submitted to the Minister by Council.
- Council wishes to emphasize that the Audit Committee would not conduct a second review of an institution's sample programs. The committee will focus on the process and criteria of each review, and will assess whether the institution's procedures are effective in identifying strengths and weaknesses leading to an improvement in quality.

With respect to **graduate** programs, Council recommends that the existing review system be left in place, with the addition of a new monitoring system:

Periodic Audits of the Appraisals Process

- Council recommends that the Academic Quality Audit Committee assume responsibility for conducting, at least once in every seven-year cycle, periodic audits of the appraisals process operated by the Ontario Council on Graduate Studies. Such audits should include an assessment of the effectiveness of the appraisals process in ensuring public accountability for the quality of graduate programs, and offer proposals to improve that process.

With respect to **implementation and assessment**, Council recommends the following procedures:

Implementation and Evaluation of the Review and Audit Procedures

- Council recommends that the review and monitoring procedures, proposed in this Advisory Memorandum, be implemented beginning with the 1993-94 academic year.
- Council recommends that institutional compliance with Council's review and monitoring procedures be made a condition of receipt of public funds.
- Council recommends that it be authorized to conduct a formal assessment of the review and monitoring process within the first seven-year cycle.
- Council is concerned that the establishment of an academic quality review and monitoring process adds another area of regulation for institutions and an additional component in the advisory process. Accordingly, Council recommends that Government should consider, in the context of the next sunset reviews of both Council and the Academic Advisory Committee, the possibility of rationalizing functions among the Academic Advisory Committee, the Academic Quality Audit Committee proposed in this Advisory Memorandum and the Accountability Review Committee proposed by the Task Force on University Accountability.

Academic Quality Reviews

1.0 Introduction

In recent years, there has been a growing belief that Ontario's universities should become more formally accountable to the public. As noted by the then Minister of Colleges and Universities,

universities, as major contributors to the social, economic and cultural well-being of the Province, and as recipients of large sums of public funding, are in a somewhat unique position in terms of their relationship with Government. The acts of the legislature [sic] which establish universities clearly articulate their legal autonomy by vesting in each board of governors the responsibility for the governance, management and control of the university and its property, revenues, expenditures, business and affairs."²

2. The Honourable Richard Allen, Minister of Colleges and Universities, Memorandum to Executive Heads of provincially-assisted universities and related institutions, September 25, 1991, Attachment, p. 1.

At the same time, as agencies that receive the majority of their revenues in the form of Government grants, universities must be accountable to the public for their activities and operations.

Both, the work of the Provincial Auditor and general public concern with levels of public expenditures, have heightened public interest in how universities conduct themselves. There are concerns about the quality of academic programs and graduates, about the effectiveness and efficiency of their internal management, and about whether universities' priorities are consistent with the broad social and economic needs of the province.

In September, 1991, the Minister of Colleges and Universities announced a two-pronged review of the accountability mechanisms of provincially-assisted universities:

- A Task Force on University Accountability was established to examine and provide advice on the accountability framework for the **social, economic and cultural roles** of Ontario universities; and
- The Ontario Council on University Affairs was asked to examine and provide advice on the issue of **academic accountability**.³

The Minister asked that Council and the Task Force co-ordinate their efforts, an objective that was facilitated by the presence of Council representatives on both the Task Force and its steering committee.⁴ In developing its recommendations, therefore, Council has been mindful of the overall accountability framework and, in particular, of the need to place academic accountability within a broader social context.

The Task Force on University Accountability conducted a number of public hearings, issued a progress report in June, 1992, and submitted a final report, University Accountability: A Strengthened Framework, on May 13, 1993. The Minister recently released the report publicly for comment before Government develops a response.

Like the Task Force, Council began its work with a process of public consultation. In a departure from Council's usual practice of asking stakeholders to comment on a variety of issues at a number of regional hearings, each of Council's 1991 Fall hearings was conducted as a multi-institutional discussion focussed on a specific issue. A full day was dedicated exclusively to academic program reviews. To stimulate discussion at this hearing, Council issued a working paper which outlined options, proposed potential objectives and outlined a possible review and monitoring process.⁵

Council explored with participants the idea that:

- existing publicly-assisted institutions should undertake periodic quality reviews of their academic programs;
- there should be a means by which to inform the public about such review procedures and relevant standards that are used; and

3. Letter from the Honourable Richard Allen, Minister of Colleges and Universities, to Dr. H. V. Nelles, Chairman, Ontario Council on University Affairs, September 24, 1991.

4. Ibid.

5. Ontario Council on University Affairs, Academic Program Quality Reviews: A Working Paper for Discussion at the 1991 OCUA Fall Hearing on Accountability, October 10, 1991.

- institutions should adopt, as an objective of the review process, continuous improvement in the quality of education, within available means.

Stakeholder comments were reflected in a second discussion paper issued in September, 1992, prior to a series of regionally-based public hearings.⁶ The 1992 paper proposed a more detailed review and monitoring model than the one outlined in the 1991 document. (A fuller discussion of Council's discussion papers, and the comments of stakeholders, appears in Appendix A.) In preparing this Advisory Memorandum, Council has taken account of stakeholder comments offered during the hearings, the recommendations of the Task Force on University Accountability and Council's own deliberations.

2.0 An Academic Quality Review Process

The accountability of public institutions, including educational institutions, is a matter of continuing public and political concern. Universities are self-governing, but they must also be publicly accountable for the public funding they receive, and they must be able to demonstrate that they make sound academic and financial choices in the context of available resources and economic, social and cultural policy. Institutional autonomy and academic freedom are not incompatible with public accountability, as noted by the Task Force on University Accountability, which focused on the issues of economy, efficiency and effectiveness:

Institutional autonomy is not incompatible with accountability. Neither is academic freedom. Faculty and students in our universities should continue to enjoy academic freedom. Universities should continue to enjoy institutional autonomy, the bulwark that protects academic freedom. Accountability systems appropriate to the university will take academic freedom and institutional autonomy into account. They will also take into account the diversity among institutions that is a consequence of their autonomy. Gaining recognition as being accountable will assist universities in maintaining academic freedom and institutional autonomy.⁷

In other jurisdictions, a variety of approaches to academic accountability have been adopted with varying degrees of success. Institutional and program accreditation, student assessment, performance indicators, comprehensive auditing and program quality audits have been implemented elsewhere in North America and abroad. In some cases, these measures are used primarily for management information purposes and only secondarily for accountability purposes, if at all. Council, however, has sought a form of accountability appropriate to higher education in the Ontario context. As indicated in Council's 1991 discussion paper:

the preferred approach is one which limits the intrusion into university autonomy and academic freedom but can effectively and credibly meet the public's need for accountability.⁸

Apart from program accreditation conducted by the governing bodies of regulated professions, the two most common approaches to quality assessment carried out by Ontario

6. Ontario Council on University Affairs, Academic Quality Reviews for Public Accountability: A Working Paper for Discussion at the 1992 OCUA Fall Hearings, September 29, 1992.

7. Task Force on University Accountability, University Accountability: A Strengthened Framework, May, 1993, p. 32.

8. OCUA, Academic Program Quality Reviews: A Working Paper for Discussion at the 1991 OCUA Fall Hearing on Accountability, October 10, 1991, p. 8.

universities are internal reviews of undergraduate programs using peer evaluation and periodic appraisals of graduate programs conducted by the Ontario Council on Graduate Studies. On an individual basis, most Ontario universities have implemented periodic formative reviews of academic units (most often at the departmental level) as good institutional practice to assist their academic governing bodies in assessing academic quality. Institutions committed to a process of internal academic review told Council that such processes facilitate quality improvements and aid in resource allocation decisions. Although the graduate program appraisals process conducted by OCGS is well established (and was found, in a 1986 report of Council, to produce reliable and credible judgements concerning the quality of graduate programs)⁹, there is no province-wide systematic quality review process at the undergraduate level.

This Advisory Memorandum builds upon the experience of Ontario universities, expanding the coverage of systematic quality reviews. Inasmuch as Council believes that an effective province-wide quality review system exists for graduate programs, most of Council's advice concerns undergraduate programs, a decision that is unchanged from the 1991 working paper.¹⁰ Nevertheless, Council recommends that the graduate appraisals process also be subject to audit in the manner outlined below in order to promote improvements in quality and ensure public accountability.

2.1 Fundamental Principles and Characteristics of Undergraduate Quality Reviews

From Council's point of view, the overriding purpose of the proposed process of academic quality reviews is to ensure that a means of systematically improving academic quality is in place at each university-level institution in Ontario. Council has identified basic principles and characteristics to guide its development of an academic review process. There are three fundamental principles:

1. The quality of academic programs must not only be monitored - it must be **seen by the public to be monitored** - thereby responding, in part, to growing demands from government, employers, students and parents for increased public accountability of universities.
2. The process must not merely confirm existing levels of quality, but must create opportunities for **maintaining and improving quality**, especially in students' learning experiences and outcomes.
3. The process should be based on "**monitored self-regulation**", in which the system for reviewing the quality of undergraduate programs should be conducted by and be specific to each institution and be subject to audit by an independent body whose members are publicly appointed.

In attempting to develop an approach to program quality review, both Council and stakeholders were confronted with the following major issues:

9. See OCUA Advisory Memorandum 86-III, "An Assessment of the Council of Ontario Universities' Program Quality Appraisals Process".

10. Op. cit., Ontario Council on University Affairs, 1991, p. 3.

- If a principal objective of reviews and monitoring is the improvement of quality, can such an improvement better be achieved by a centralized or a decentralized review procedure? By a monitoring process that stresses "formative" (developmental or educational) elements or "summative" (punitive or judgemental) elements?
- Should province-wide minimum quality standards be developed at the outset of the review process, and if so, by whom?
- Should external peer review be mandatory? Should student evaluation be mandatory?
- Should the results of reviews and/or audits be linked to continued eligibility for public funding of existing programs?
- Should new programs seeking funding eligibility be required to undergo the same review procedures as existing programs?
- Should undergraduate reviews be modelled after the graduate appraisals process and conducted under the aegis of the Council of Ontario Universities?
- Should the Audit Committee report through, or to, OCUA, and should members of the public (i.e., non-academics) be eligible to serve as members of the Audit Committee?
- How often should reviews and audits be conducted?
- What should be the appropriate relationship between accreditation reviews and a province-wide academic quality review process?
- To what extent should elements of "social accountability" be included in quality reviews?
- What are acceptable financial costs of a review and monitoring process?

In order to make academic accountability manifest across the Ontario university sector, Council proposes that a system of peer-adjudicated academic quality reviews, occurring at least once every ten years, be adopted by each institution in the province and applied to the undergraduate enterprise. In addition, in the interest of public accountability, a new committee reporting to Council would monitor the effectiveness of these reviews through monitoring the process of institutionally-conducted academic quality reviews at least once every seven years. Also once every seven years, the committee would monitor the OCGS quality appraisals process for graduate programs. The Audit Committee will also aid institutions in the development of appropriate standards for quality assessment as well as comment on trends and issues in academic program quality.

Like the Task Force on University Accountability, Council proposes a model of academic accountability which might be characterized as "monitored self-regulation". It is a minimalist position that would involve neither direct evaluation of academic programs by an external agency nor re-evaluation of institutionally-conducted academic reviews. Council considered, but rejected, the option of establishing a centralized, direct external evaluation of academic programs. Another option considered by Council would have extended the responsibilities of the

Council of Ontario Universities (of which OCGS is an affiliate) to the undergraduate area. Both options were deemed less desirable, within the Ontario context, than the process outlined below.

The process recommended is a staged approach. The process, as set up initially, is relatively non-interventionist. If the process proves to be effective, it should remain in place. If monitored self-regulation is found to be ineffective, however, a more interventionist approach should replace it. For this reason, Council recommends that, within the first cycle of quality audits, the process be reviewed to assess its effectiveness in maintaining and improving academic quality and to determine if modifications to the process are required.

The process is intended to be both formative and summative in nature. Council's initial emphasis is on a formative process, developed to suit institutionally-specific circumstances. Nevertheless, a completely formative process would not likely satisfy the desire for public accountability. As the Audit Committee gains experience with monitoring review procedures, the Committee will be expected to consider whether to recommend minimum province-wide standards and criteria for both quality reviews and audits.

Council believes, therefore, that the process must contain summative elements. Striking an appropriate balance will be important. The summative aspects of the audits should include comments on such issues as the degree of effectiveness of various institutional processes and the identification of "best practices" within the university system. It should also include an appropriate minimum set of performance indicators or benchmarks that all reviews should be required to address.

In summary, Council believes that an academic quality review process for Ontario universities requires the following characteristics:

- *Monitored self-regulation* - initially, be guided by the general principle of "**monitored self-regulation**", in which the system for reviewing the quality of undergraduate programs is conducted by and specific to each institution and yet is subject to audit by an independent body whose members are publicly appointed.
- *Build an informed public* - provide consumers of academic programs (for example, students, parents, employers and Government) with appropriate information on the quality of academic programs.
- *Institutional ownership and responsibility* - institutions should have a sense of ownership of the process; feel that it is appropriate for the circumstances at their university; and accept responsibility for both diligent implementation and continuous improvement of the process.
- *Academic integrity* - the entire process should be seen to have integrity in being able to effectively evaluate the quality of academic programs.
- *Develop Ontario standards* - a product of the process should be the formal development of minimum standards of quality for academic programs in Ontario universities through a process of peer review. The minimum standards developed, and the consequent expectations of the public, should be realistic and achievable, reflecting the realities faced by Ontario universities. Nonetheless, the process should also be useful to institutions which aim for world-class standards in some or all of their programs.
- *Public credibility* - the process should be seen by interested parties, external to the universities, to be credible and effective in assessing and improving the academic quality of programs within the context of prevailing public policy.

- *Respect university autonomy* - an appropriate balance between the need for public accountability and institutional autonomy should be effected.
- *Administrative efficiency and effectiveness* - the process should be easy to administer and should not require significant expenditure of time or money or a large bureaucracy, either centrally or in each institution.

3.0 Recommended Approach

3.1 Undergraduate Review Procedures

Each university will be required to develop quality review procedures for all undergraduate programs and to develop an institutional standard of quality, including appropriate performance indicators. At a minimum, the criteria used to review all programs should include relevant academic quality performance indicators identified by the Task Force on University Accountability in its final (May 1993) report, University Accountability: A Strengthened Framework.¹¹ The appropriateness and relevance of particular indicators outlined by the Task Force will be affected by institutional mission statements and supporting academic plans.

The definition of the unit to be reviewed will be determined by each institution, but the unit (referred to generically as "program" in this Advisory Memorandum) should be the lowest reasonable aggregation of academic programs with which **students** would most likely be expected to identify and relate to; normally, that is a department, school or institute rather than a faculty.

Each university will be required to submit for Council review, by a specified date, a copy of its institutional review procedures for undergraduate programs, along with its mission statement and supporting academic plans.

The institutional review procedures should include:

1. The definition of the unit to be reviewed (degree program, department, discipline, etc.), the proposed schedule of review and the status of each program (date of last review, date of next review);
2. How the review procedures relate to the institution's mission statement, academic plan and fiscal capacity, and any relationships with colleges of applied arts and technology and other bodies;
3. The institution's standards of quality (performance indicators, criteria, equity-enhancing measures, etc.) against which units will be reviewed;
4. The details of the review procedure (terms of reference; the various stages; how the external reviewer(s) will be selected; who will manage the review process, and the role of the central administration);
5. How students will be involved in the review and how student opinion will be gathered and evaluated;

11. Task Force on University Accountability, University Accountability: A Strengthened Framework, May, 1993, Appendix "G" (Report of the Committee on Accountability, Performance Indicators and Outcomes Assessment, pp. 15 - 34).

6. How employees (both academic and administrative staff) in both the program and the institution will be involved in the review, and how employee opinions will be gathered and evaluated;
7. Expected outcomes, in terms both of specific documents and the nature of recommendations/follow-ups, including a description of who, outside the program, will be responsible for evaluating the review results and ensuring that actions are taken in addressing the results;
8. Whether and how professional accreditation reviews are taken into account in reviewing undergraduate program quality;
9. How the review process is expected to improve quality;
10. The extent to which review results and information on follow-ups are made public, both inside and outside the institution;
11. How the senate (or equivalent academic body) receives and acts on review results;
12. How the governing body of the institution receives and acts on review results.

Programs, that undergo professional accreditation reviews, should be permitted to use accreditation results to form part but not all of the requirements of Council's review procedures.

Council recommends that an Academic Quality Audit Committee (described further below) be created and that the Committee provide comments to each university on its institutional review procedures, drawing particular attention to instances where the institutional procedures do not meet Council's minimum requirements, and suggesting how such deficiencies might be addressed.

Ultimate responsibility in each university for ensuring that the review process is properly conducted must be vested in the governing body of the institution (board of governors, board of trustees, governing council). Governing bodies will be expected to be representative of all appropriate stakeholders, as defined by the Task Force on University Accountability, and must have sufficient authority and access to full information to hold executive heads accountable for: (a) the development of review procedures which comply with Council's minimum requirements; (b) the conduct of reviews, in accordance with the institutional procedures; and (c) appropriate implementation of follow-up actions in response to review recommendations. In bicameral institutions where senates have principal responsibility for academic affairs and governing bodies have authority over all other matters, the review procedures should make provision for appropriate involvement of the senate in the conduct and monitoring of undergraduate program review, and in implementing those recommendations falling under the senate's jurisdiction. Nonetheless, the governing body will ultimately be accountable.

For these review procedures to be credible, institutional procedures would be expected to incorporate the following **minimum requirements** (many of the elements of which have been proposed by stakeholders or appear in other jurisdictions):

1. The review procedures must make provision for **external peer assessment**, utilizing a site visit. The number of assessors external to the institution and the method of their appointment will be determined by each institution. The external assessor(s) must have full access to all needed documentation, as well as the right to request meetings with academic staff, administrative staff and students, in groups or individually, on a confidential basis.

2. The review procedures must make provision for the systematic gathering and assessment of **student opinion**. Student representatives are to be involved in developing feedback mechanisms. Opinion should be obtained from currently enrolled students, graduates of the program, former students who did not complete the program and non-majors. Information should be provided on student distinctions and achievements in the program; whether there is a formal process for investigating and addressing student concerns about teaching, grading and academic administration; and whether students elect representatives to relevant program committees (such as curriculum, planning, promotion, hiring). Policies on equity, discrimination and harassment, as they affect students, should also be reviewed in the context of overall institutional policies and the institutional mission statement.
3. The review procedures must make provision for the systematic gathering and assessment of the opinion of all **employees** (both academic and administrative staff). **Academic staff** ordinarily would include all those who are members of or who are affiliated with the program under review (including full-time, part-time and adjunct faculty, those in the tenure-stream and on limited term contracts, cross-appointed faculty, laboratory demonstrators and teaching assistants). An opportunity should also be provided for input from faculty in other disciplines at the university, particularly those which are deemed cognate fields or which are frequently chosen as joint majors.

All **administrative staff** who are members of, or who are affiliated with, the program under review are to be provided an opportunity to comment during the review, and program chairs should be particularly sensitive to the need to create appropriate workplace conditions that enable administrative staff, wherever feasible, to participate in reviews (e.g., appropriate release time to attend meetings, back-up for staff who must be absent from the office, etc.). An opportunity should also be provided to administrative staff outside the program (in particular, for example, registrarial, admissions, planning and library staff) to provide comments about the program during the review.

4. The review procedures must make provision for the following **student and resource information** to be assessed with particular, although not necessarily primary reference to, members of groups traditionally underrepresented in higher education: procedures for the recruitment, admission and retention (until graduation) of students; student attrition rates; student grading practices; whether there are policies on and/or services for student orientation, academic counselling, retention and academic supervision while in the program; whether there are effective procedures for keeping students advised of their academic progress; whether the program or institution has a writing skills program appropriate to students in the unit under review, library/laboratory orientation program and special policies or services for part-time students; whether there are appropriate library, laboratory or teaching equipment resources for the program; and the length of time a student must wait to use a given service or resource.
5. The review must address the **social relevance** of the program by examining such information as employment and achievements of graduates, views of employers, labour market expectations, how the program develops "liberal education skills" (critical thinking, communication, writing, research, etc.), whether the program/institution assists graduating students with job placement, and whether there is continuing student demand for the program.

6. The review must examine the **curriculum**, how it is organized and delivered, what learning modes and equipment are used, how new degree programs are developed, whether the curriculum is appropriate in terms of content and rigour and whether there is an adequate process for reviewing the curriculum, on an ongoing basis, to ensure quality, effectiveness and relevant social/community values. Specifically, are the curriculum objectives clear and are learning outcomes adequately specified; are appropriate delivery methods being used; are appropriate evaluation methods employed (for example, essays, examinations, etc.)?
7. The review must assess the quality of **planning** in the program and whether planning structures and procedures are effective. (Information about faculty and university planning processes will be needed to place this information in context.)
8. The review must assess the range of **teaching resources** committed to the program, i.e., how academic staff are deployed (by rank, tenure status, and full-time/part-time/teaching assistant status) in undergraduate teaching in various formats such as lectures, seminars, tutorial and laboratories; who is doing the teaching and who is doing the evaluation and grading.

Information should also be provided on (a) instructional load, expressed as both teacher-student ratio and student contact hours, and (b) relevant human resource policies, including equity, discrimination and harassment policies, and/or collective agreement provisions as they affect the organization, structure and condition of undergraduate teaching in the program.

9. The review must assess the extent of **faculty teaching development**, orientation, training, appraisal and incentives for teaching improvement, including whether there is a budget for teaching development; whether there is adequate orientation, teaching skills training and supervision of graduate teaching assistants and part-time and adjunct faculty; and whether there are procedures in place to periodically evaluate the instructional effectiveness of tenured and non-tenured full-time faculty, part-time faculty, teaching assistants and non-faculty instructional personnel. Information should be provided on relevant faculty honours, distinctions and achievements in the fields of teaching effectiveness, curriculum development and academic counselling. The extent to which undergraduate teaching is evaluated in making decisions on merit increments, tenure, promotion and initial appointment should also be assessed.
10. The review must assess the extent of **administrative staff development**, particularly the opportunities available to administrative staff to enhance their knowledge and skills relevant to the management and delivery of the academic program and associated student services or resources.
11. The review process must be **approved** by the institution's governing body, and the full report of each review, including the program response and the proposed follow-up action, must be **reported** in a timely fashion both to the governing body and to an appropriate committee of the university senate (or equivalent academic body) on which there is a majority of elected academic members.
12. The results of the reviews must be made **public**, in a form to be determined by the governing body (e.g., which may edit out references that identify individuals).

13. Each program must undergo a formal review at least once in every **ten-year period**.
14. While these reviews may be co-ordinated with graduate program reviews to achieve efficiencies in relation to the use of peer reviewers, the process must focus on criteria appropriate for **undergraduate student experiences and outcomes**.

3.2 Audit Procedures for Undergraduate Programs

The **Academic Quality Audit Committee** would use each institution's review procedures and the institutional standard(s) of quality, together with any comments by the Committee and Council on the procedures and any institutional response to those comments, as the basis for conducting subsequent periodic audits of the process to assess how effective the process is in bringing about an improvement in quality.

Audits would be conducted on a seven-year cycle, with three institutions to be audited each year, so that all institutions should be audited at least once during the first full cycle. (Although the **audit** cycle is recommended as seven years, institutions would be permitted to use a **review** cycle other than seven years, provided each program is reviewed at least once a decade.)

The Audit Committee will be appointed under its own Order-in-Council and will have a relationship to the Council similar to that of the Academic Advisory Committee. Essentially, this would mean that the reports of the Committee must be passed on to the Minister without amendment by Council, although Council could comment on the report of the Committee or make its own recommendations.

As with the Academic Advisory Committee, the policies that the Audit Committee are to implement would be approved by the Minister, with Council recommending on the policy framework and parameters within which the Committee will operate. Within this context, the Committee would be expected to determine its own operating procedures and timetable, and would be supported by the staff and from the budget of the Council. Council will be expected to review and, from time to time, propose amendments to the Committee's terms of reference, through advice to the Minister.

The Committee would consist of six members, appointed by the Lieutenant Governor in Council, on the advice of the Minister. The Chair of the Committee will be designated annually by the Chair of Council from among the six members, all of whom must have experience in evaluation. Three members of the Committee should be faculty members who hold positions at Ontario universities and who, taken together, have distinguished careers in research, scholarship, teaching and the evaluation of teaching. Three members should be non-faculty, not currently affiliated with an Ontario university but who have personal experience with university operations (such as that gained from service as a member of a governing board or senate). It is anticipated that such individuals could include recent graduates and members of the business, professional or labour sectors. The Chair of Council would be expected to solicit suggestions from all appropriate stakeholder groups before forwarding a list of nominees to the Minister.

An audit to be carried out by the committee would consist of an assessment of:

- General institutional review procedures;
- The comprehensiveness of the review process, the list of programs which have been reviewed and the schedule for ongoing reviews;
- The extent to which the institution's governing body contains directly elected representatives of appropriate stakeholders, as recommended by the Task Force on University Accountability;

- The capacity of the governing body to be ultimately accountable for the conduct of reviews;
- The manner in which reports are made public; and
- A sample of program reviews (the number and programs to be selected by the Audit Committee) consisting of a detailed review of all documentation, including the memoranda of agreement and other follow-up reports. (In selecting reviews to be audited, the Committee would identify a **proportion** of an institution's reviews, rather than a specific number, in order to obtain an accurate random sample.) The Committee will be expected to assess whether, and to what extent, the sample reviews correspond with the institution's procedures and Council's minimum requirements, and whether, and to what extent, the reviews provide an opportunity to identify and improve quality.

The Academic Quality Audit Committee, or a panel thereof, would be expected in most but not necessarily all cases to conduct a site visit to the institution and interview relevant individuals. Best practices will be identified and deficiencies noted by the Audit Committee, in order to educate the sector on how to conduct reviews which can maintain and improve quality. The Audit Committee, prior to the submission of a committee report, should solicit comments from an institution's stakeholders on any institutional references scheduled to appear in the report.

Council wishes to emphasize that the Audit Committee would not conduct a second review of an institution's sample programs. The Committee will focus on the process and criteria of each review, and will assess whether the institution's procedures are effective in identifying strengths and weaknesses leading to an improvement in quality.

The Academic Quality Audit Committee will report to the Minister at least annually, through the Council, on the results of the audits, and over time (as more experience is gained) could advise on emerging system-wide standards. If recurring problems are identified, the Committee could recommend that Council explore these problems on a sector-wide basis.

Inasmuch as reports of the Audit Committee are intended to inform and educate university stakeholders, Council recommends that the reports of the Audit Committee become public when Council submits them to the Minister.

If the Minister accepts both the recommendation of the Task Force on University Accountability to establish an Accountability Review Committee to monitor non-academic accountability processes in universities, and the Council's recommendation to establish an Academic Quality Audit Committee, Council would have three advisory subsidiary bodies carrying out different "regulatory" functions: the Academic Advisory Committee, the Academic Quality Audit Committee and the Accountability Review Committee. Council is concerned that the establishment of an academic quality process and committee adds another area of regulation for institutions and an additional component in the advisory process. Indeed, in Council's 1992 Fall hearings, many institutions called for less regulation, especially in the case of new programs seeking funding eligibility. Council believes that, once Government has responded to the Task Force on University Accountability and to this Advisory Memorandum, it would be useful to consider, in the context of the next sunset reviews of both Council and the Academic Advisory Committee, the possibility of rationalizing functions among the three advisory committees. Some possible options are:

- Integrate the Academic Quality Audit Committee with the Accountability Review Committee to carry out all academic and non-academic accountability functions. Continue to have a separate Academic Advisory Committee which would carry out its current program approvals functions.

- Eliminate the Academic Advisory Committee and have Council's Program Committee carry out all program approvals-related activities. Set up a separate Academic Audit Committee and Accountability Review Committee to fulfill the accountability functions.
- Combine the Academic Advisory Committee with the new Academic Quality Audit Committee to carry out all academic-related regulatory work of Council. Set up a separate Accountability Review Committee to deal with non-academic accountability monitoring.

Council recommends that the Minister ask for a re-examination of the appropriate advisory committee structure in the context of the sunset reviews for Council and AAC.

3.3 Review and Audit Procedures for Graduate Programs

Council recommends that the existing graduate appraisal system conducted by the Ontario Council on Graduate Studies be continued. Furthermore, in order that public accountability of the process be demonstrated, Council recommends that the Academic Quality Audit Committee assume responsibility for conducting periodic audits, at least once every seven years, of the OCGS appraisals process. Such audits should include an assessment of the effectiveness of the appraisals process in ensuring public accountability for the quality of graduate programs, as well as any proposals to improve that process. In light of the fact that the appraisals process was last evaluated in 1986, the Academic Quality Audit Committee should consider conducting an early evaluation.

3.4 Implementation of the Review and Monitoring Process

Council recommends that the review and monitoring procedures proposed in this Advisory Memorandum be implemented beginning with the 1993-94 academic year and that institutional compliance with Council's review and monitoring procedures be made a condition of receipt of public funds from the Ministry of Education and Training. A clause to that effect (including a copy of the procedures) should be included in the Ministry's Ontario Operating Funds Distribution Manual.

The review and audit procedures would apply to all provincially-assisted universities and university-related institutions in receipt of public funds from the Government of Ontario.¹²

3.5 Evaluation of the Review and Audit Process

It is proposed that the Council be authorized to conduct a formal evaluation of the audit and review process within the first seven-year cycle to determine overall effectiveness of the process, to consider whether changes are required, and to assess, in particular:

- whether province-wide minimum quality standards should be developed;
- whether linkage between review/audit results and public funding eligibility should be recommended;
- whether **new** programs proposed for funding eligibility should be required to undergo the same quality reviews as existing programs;

12. For purposes of clarification, these procedures would apply to Hearst College, Algoma College and the Ontario College of Art.

- whether external peer reviewers should continue to be mandatory; and
- whether changes are required in the graduate appraisals system.

3.6 Financial Costs of the Review and Audit Process

The major financial costs of Council's proposed review and monitoring procedures are of two kinds: institutional and central.

At the **institutional** level, there are costs associated with site visits of external peer assessors, administrative staff support to internal review committees, the collection of information, and the printing of documentation. The principal expense is that of the external assessors. York University, which already has in place a formal procedure for conducting periodic reviews of undergraduate programs, has estimated that the review expenses for a small department, involving two external consultants, could cost the university up to \$4,000, while a large unit involving three external consultants could cost \$11,000. The annual review costs for each institution will depend on the size of the units to be reviewed, the number of external peer assessors used, and the number of reviews conducted each year. Council believes that such expenses should be considered normal operating costs and included in annual operating budgets; funded, in other words, in the same way that graduate appraisals are funded. For those institutions that already have formal periodic review procedures in place, there should be no significant new costs associated with adapting existing procedures to Council's proposed procedures.

At the **central** level, the work of the Academic Quality Audit Committee would represent a new expenditure, requiring an additional allocation to Council's operating budget. As noted above, the Task Force on University Accountability has recommended establishing, under the aegis of Council, an Accountability Review Committee, to monitor and report on the effectiveness of the **non-academic** accountability frameworks of Ontario universities.¹³ The additional annual cost of operating the Accountability Review Committee was estimated by the Task Force at between \$250,000 and \$300,000. As the Task Force wrote in defence of this cost, "This would amount to less than one-sixtieth of one per cent of the value of direct provincial grants to Ontario universities, not a high price to pay for strengthened accountability".¹⁴

Council estimates the additional annual cost of operating the Academic Quality Audit Committee at approximately \$200,000, and believes this is a justifiable and efficient expenditure to promote the improvement of academic quality for a university sector that receives approximately \$2 billion in public funds each year. Council's estimate for its proposal compares favourably with an estimate by the Council of Ontario Universities that the Audit Committee described in Council's 1992 working paper (and with identical goals to the Academic Quality Audit Committee) would cost just under \$1 million annually.¹⁵

4.0 Recommendations

Council's decision to recommend a system of monitored self-regulation is premised on two assumptions: first, that Government will endorse and implement those recommendations of the Task Force on University Accountability which prescribe the composition of **representative** and **democratic** governing bodies; and second, that universities will accept and implement these recommendations.

13. *Ibid.*, p. 74.

14. *Ibid.*, p. 74.

15. Council of Ontario Universities, *Brief For Presentation To OCUA Fall Hearings*, December 10, 1992, p. 4.

It is Council's view that representative, democratic governing bodies can perform effectively the functions Council would assign to them. Should Government or the institutions choose **not** to implement the Task Force's recommendations, Council would wish the opportunity to reconsider its recommendation of a system of monitored self-regulation.

Accordingly, Council *recommends to the Minister:*

OCUA 93-51

IMPLEMENTATION OF AN ACADEMIC QUALITY REVIEW PROCESS

THAT, through the process of academic quality reviews outlined in this Advisory Memorandum, a process of "monitored self-regulation" be implemented to ensure that a means of systematically improving academic quality and public accountability is in place at each university-level institution in Ontario.

With respect to **undergraduate** programs, Council *recommends to the Minister:*

OCUA 93-52

PERIODIC INSTITUTIONAL ACADEMIC REVIEWS

THAT each institution be required to conduct periodic formal reviews of all undergraduate programs, at least once every ten years, with the objective of systematically improving the quality of students' learning experiences and outcomes.

THAT each institution be required to file with Council a copy of its institutional review procedures for comment, with each institution defining an institutional standard of quality (including appropriate performance indicators, criteria, equity-enhancing measures, etc.) in the context of its own institutional mission statement and academic plans.

THAT the quality review process in each institution meet the minimum requirements outlined in this Advisory Memorandum.

THAT the definition of the unit to be reviewed be left to each institution, provided the unit is the lowest reasonable aggregation of academic programs with which **students** would most likely be expected to identify and relate to.

THAT the ultimate responsibility in each institution for ensuring that the review process is properly conducted be vested in the governing body, requiring that the governing body (a) be representative of all appropriate stakeholders as defined by the Task Force on University Accountability, and (b) have sufficient information and authority to carry out such responsibility.

THAT the results of each review must be made public, in a form to be determined by each institution's governing body.

OCUA 93-53

PERIODIC ACADEMIC QUALITY AUDITS

THAT Council, through a newly-created Academic Quality Audit Committee, conduct periodic audits of the review process at each institution, on a seven-year cycle, ensuring that every institution is audited at least once during the first cycle.

OCUA 93-54

ACADEMIC QUALITY Audit Committee

THAT an Academic Quality Audit Committee reporting to Council be established by Order-in-Council and consist of six members, all of whom must have experience in evaluation: three faculty members from Ontario universities who, taken together, have distinguished careers in research, scholarship, teaching and the evaluation of teaching, and three non-faculty members who are not currently affiliated with an Ontario university but who have personal experience with university operations.

THAT the Audit Committee review and comment on each university's institutional review procedures; audit a sample of each institution's reviews by assessing the effectiveness of the review process in identifying strengths and weaknesses leading to an improvement in quality; and prepare an annual report commenting on the effectiveness of the review and monitoring procedures and proposing necessary changes.

With respect to **graduate** programs, Council *recommends to the Minister:*

OCUA 93-55

PERIODIC AUDITS OF THE APPRAISALS PROCESS OF THE ONTARIO COUNCIL ON GRADUATE STUDIES

THAT the Academic Quality Audit Committee assume responsibility for conducting periodic audits, at least once every seven years, of the appraisals process conducted by the Ontario Council on Graduate Studies. Such audits will include an assessment of the effectiveness of the appraisals process in ensuring public accountability for the quality of graduate programs, as well as any proposals to improve that process.

With respect to **implementation** and **assessment**, Council *recommends to the Minister:*

OCUA 93-56

IMPLEMENTATION AND ONGOING ASSESSMENT OF THE ACADEMIC QUALITY REVIEW AND MONITORING PROCEDURES

THAT the review and audit procedures proposed in this Advisory Memorandum be implemented beginning with the 1993-94 academic year.

THAT institutional compliance with Council's review and audit procedures be made a condition of receipt of public funds.

THAT Council be authorized to conduct a formal assessment of the review and audit process within the first seven-year cycle.

OCUA 93-57

PUBLIC RELEASE OF THE REPORTS OF THE ACADEMIC QUALITY Audit Committee

THAT reports of the Academic Quality Audit Committee become public upon submission to the Minister by Council.

OCUA 93-58

POTENTIAL RATIONALIZATION OF ADVISORY FUNCTIONS

THAT Government should consider, in the context of the next sunset reviews of both Council and the Academic Advisory Committee, the possibility of rationalizing functions among the Academic Advisory Committee, the Academic Quality Audit Committee proposed in this Advisory Memorandum and the Accountability Review Committee proposed by the Task Force on University Accountability.

5.0 Conclusion

Council is convinced that the review and audit procedures recommended in this Advisory Memorandum will both enable provincially-assisted universities to demonstrate, and provide an opportunity for the public to confirm, that academic program quality is being evaluated on a regular basis and with the objective of improving the quality of students' learning experiences.

Joy Cohnstaedt,
Chair

July 23, 1993

Academic Quality Reviews: Background and History of Consultation

1. Introduction

Accountability is an issue that is high on the agenda of governments and public institutions in Canada, including universities. Ontario universities have been actively engaged in discussions about accountability over the past few years, in the context of a number of developments: the series of reports on the first inspection audits of universities conducted by the Provincial Auditor; recent deliberations of the Legislature's Public Accounts Committee regarding university operations; and the 1991 report of the Commission of Inquiry on Canadian University Education, chaired by Dr. Stuart Smith¹. University accountability has been the subject of two recent formal inquiries in Ontario: the Task Force on University Accountability, which was established by the Minister of Colleges and Universities to examine the accountability of universities in their social, cultural and economic roles, and the study by the Ontario Council on University Affairs of academic program quality reviews.

Council first raised the issue of quality assessment in its Advisory Memorandum on the Establishment of New Provincially-Assisted Universities in Ontario. In that Memorandum, Council recommended that both new and existing degree-granting institutions should be subject to assessments of academic quality.² In responding to Council's advice on the Establishment of New Provincially-Assisted Universities, the Minister welcomed Council's further exploration of the idea of program reviews.³ When he appointed the Task Force on University Accountability, the Minister specifically reserved the issue of academic accountability for the Ontario Council on University Affairs. The Minister stated "...Council will address the issue of program review as a means of ensuring accountability for program quality."⁴

The practice of conducting reviews to ensure quality is, of course, not new to the university sector. While noting the development of Government's interest in and concern about university accountability, it is important to observe that many aspects of the academic enterprise are subject to almost continuous evaluation. Most Ontario universities do, in fact, have formal procedures in place to review undergraduate programs, and all graduate programs in the province must undergo periodic quality appraisal by the Ontario Council on Graduate Studies. In addition, however, as the Council of Ontario Universities has observed, research proposals and journal articles are subject to external peer review; departments are subject to periodic site visits from the federal granting councils; professional education programs are reviewed for accreditation by the governing bodies of regulated professions; each faculty member is reviewed by a department head annually with respect to teaching, research and community service; and classes are

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1. Stuart Smith, Report: Commission of Inquiry on Canadian University Education. Ottawa: Association of Universities and Colleges of Canada, 1991.
 2. Ontario Council on University Affairs, "Advisory Memorandum 91-V, Establishment and Development of Provincially-Assisted Degree Granting Institutions in Ontario", Eighteenth Annual Report, 1991-92, pp. 129-153.
 3. Letter from the Honourable Richard Allen, Minister of Colleges and Universities, to Dr. H.V. Nelles, October 23, 1992.
 4. The Honourable Richard Allen, Memorandum to Executive Heads of provincially-assisted universities and related institutions, September 25, 1991.

evaluated by students, with the results often made public.⁵ The appointment, tenure and promotion procedures for faculty members also involve various stages of formal review of individual strengths and weaknesses.

A further element influencing the context of university accountability discussions is, of course, the legal autonomy of universities and their traditional protection of academic freedom. Both the Task Force and Council were required to strive for a balance between the need of the public for accountability and the need of universities to operate as self-governing autonomous institutions.

2. Council's Discussion Papers

Immediately on receiving the Minister's reference, Council acted by dedicating one day of its 1991 Fall hearings to the subject of academic program quality reviews. To stimulate discussion and to give it focus, Council prepared a working paper which was distributed to the institutions and provincial organizations representing faculty, staff and students as well as to the Provincial Auditor and the Ministry of Colleges and Universities.⁶

It is appropriate to outline some of the main features of the 1991 discussion paper. Council indicated at that time that its primary concern was with the undergraduate level, inasmuch as a 1986 Council report had expressed confidence in the existing appraisals process for graduate programs, conducted by the Ontario Council on Graduate Studies. A preliminary list of objectives for quality reviews was provided in the paper, including: academic integrity, public integrity, respect for university autonomy, administrative ease, the development of Ontario standards which reflect fiscal realities, the development of an informed public, institutional ownership, and the assessment of proposed new provincially-assisted degree-granting institutions.

The paper explored a number of options which were derived from a review of the issues and practices surrounding accreditation, student assessment, performance indicators, comprehensive auditing and program quality audits and assessments in other jurisdictions. The experience in other jurisdictions indicates that reviews of programs have been in place for some time or that serious efforts are underway in many jurisdictions to put academic accountability measures in place. The paper reviewed Ontario's context and experience and put forward a specific proposal for periodic program assessments by institutions, with a periodic audit by an OCUA Advisory Committee, of a sample of programs once every seven years to determine the effectiveness of the evaluation system.

Over the Winter and Summer of 1992, Council considered the responses it had received at the hearing and gave consideration to the deliberations of the Task Force on Accountability and the approaches to accountability which were reflected in the Task Force's discussion paper.⁷ Particular attention was paid to the question of the locus of responsibility for accountability. Was it to be centred in the institutions and monitored, or should it be centrally-managed and administered? Council saw the following as the basic options for approaching this issue: centrally-controlled direct external academic evaluation; a simple extension of the responsibilities of the Ontario Council on Graduate Studies to the undergraduate area; or a minimalist "monitored self-regulation" approach. Council signalled its preference for the latter option in a second discussion paper issued September, 1992, entitled, Academic Quality Reviews for Public Accountability.

5. Council of Ontario Universities, Brief For Presentation To OCUA Fall Hearings, December 10, 1992, p. 2.

6. Ontario Council on University Affairs, Academic Program Quality Reviews: A Working Paper for Discussion at the 1991 OCUA Fall Hearing on Accountability, October 10, 1991.

7. Task Force on University Accountability, Progress Report and Issues Paper, June, 1992.

In this paper, which was circulated prior to the 1992 Fall hearings with the institutions and organizations, Council indicated that "discussion of the 1991 proposal suggested to Council that there was general agreement surrounding the basic concepts" presented in the 1991 document. The 1992 paper would, therefore, narrow the discussions to objectives, processes and procedures to guide Council's advice to the Minister.

The paper provided an overview to the earlier discussions, highlighting some of the issues that had been raised. It set out a revised proposal for program quality appraisal processes, and proposed a process for achieving public accountability for academic quality appraisal. Among the issues from the 1991 hearings, the following were highlighted in the paper: the unit of review, minimum standards, whether the purpose of reviews was "formative" (developmental or educational in nature) or summative (judgemental or potentially punitive), the availability and use of results, timing, accountability to society, and the oversight body.

Council's 1992 discussion paper noted that the individual program level may not be the most appropriate unit of review since it may not lend itself to linkages with budget planning and would be inefficient, costly and impractical. Council modified its proposal to refer to "a program, department, or other identifiable organizational, or costing unit" representing "the lowest reasonable aggregation of individual programs."⁸

The Council proposed a detailed set of guidelines, consisting of five steps as part of a review process, to be managed by a designated officer of the university who would be responsible for ensuring that each program is scheduled for review, that the relevant procedures are followed and that the required documentation is assembled.

Step One would require individual programs to conduct a **self-study**, in which the program itself would identify strengths and weaknesses and prepare a self-study report. The following elements were suggested for inclusion in the self-study: description of the curriculum; list of faculty accomplishments and courses taught; evaluation of enrolment and staffing trends; list of faculty research areas; results of consultations with current and former students; description of library, equipment and space resources; evaluation of societal need and relevance through discussion with employers and the community; comments on program management; and an update of the program's academic plan.

Step Two would involve **external peer review**, at least one reviewer (who would chair the team) to come from the same discipline at another university, and the others to come from cognate disciplines within the university. The external reviewers would, in the course of both a paper review, relevant interviews and a site visit, consider and comment critically on: the self-study report; the program's academic plan and mission statement; the program's teaching, research and service activities; the opinion of students (obtained in an organized manner); societal relevance of the program; and the centrality of the program in relation to the university's academic plan and mission statement. The external reviewers would prepare a report which would identify strengths and weaknesses.

Step Three would provide for a **program response** to the external reviewers' report. The original self-study, the external reviewers' report and the program response then would be forwarded, as a package, to the designated officer responsible for managing the review process.

Step Four would consist of an **administrative response** from the chief academic officer (or other designated official), in the form of a report to the senate, the president and/or another internal oversight body. This report, to include the identification of program strengths and weaknesses and recommendations for improvement, would be submitted ultimately to the governing board of the institution for information.

Step Five would represent the culmination of the review process, which should take the form of a **memorandum of agreement** among the relevant parties (the program and, for

8. Ontario Council on University Affairs. Academic Quality Reviews for Public Accountability: A Working Paper for Discussion at the 1992 OCUA Fall Hearings, September 29, 1992, p. 12.

example, the Dean, Chief Academic Officer, and President) and would specify the action to be taken on the recommendations. This memorandum, according to the council's proposal, need not be made public (but **could** be made public, in part or in full).

In the matter of standards, Council noted that there was great disagreement among the institutions. Council reiterated, in the 1992 discussion paper, that "public accountability requires at least an identification of minimum standards of quality which can be defined and enforced", and expressed the view that "... both the academic review and public accountability audit processes may require the identification of appropriate minimum standards at the outset in order to legitimate the exercise."

Council noted that the discussions indicated a preference for formative rather than summative processes. The former would effectively facilitate improvements since the essence of formative process is self-improvement, while the essence of summative processes is the rendering of a public judgement with the potential of a penalty. While Council agreed with the formative approach, it indicated in the discussion paper that in order to satisfy the desire for public accountability, there must be some summative aspects to the monitoring role, including comments on the effectiveness of various institutional processes and the identification of "best practices" within the university system.

Another issue indicated as being of concern to institutions was the circulation and utilization of the results of an evaluation. Who would expect to receive the appraisal results, what form would they take and what would be done with them? In order to protect the formative intent of the process, Council proposed in the 1992 working paper that the process need not be conducted publicly, but that there must be some internal statistical benchmarks which indicate where improvement is required. These would be reviewed for appropriateness and effectiveness on a confidential basis.

Council noted that there was considerable variety in the scheduling of academic reviews among those institutions that now conduct internal undergraduate academic reviews, such as a seven-year or ten-year cycle; or just prior to the selection of a new department chair; or when a unit voluntarily agrees to be reviewed. At that time, Council maintained a seven-year cycle for both internal reviews and external Audit Committee reviews.

Council indicated in the paper that it firmly believed that there must be a vehicle to monitor the measures universities have taken to address social issues such as equity and equality, and the elimination of systemic and overt discrimination at all levels of activity and responsibility. Such a vehicle would monitor admission and retention rates, policies on equity, discrimination and harassment, composition of staff and students, and values reflected in academic programming. Council went on to indicate that it deemed it appropriate to separate its development of a mechanism, which would monitor social accountability, from the discussion of academic accountability.

Finally, Council noted that institutions expressed no concern with OCUA fulfilling the oversight function for the audit/accountability function as long as Council remains knowledgeable and balanced in its composition, and the oversight function is conducted separately from the policy-making process and the development of funding advice. Council proposed that a nine-member Audit Committee, composed of outstanding academics drawn from different disciplines and sectors and representative of Ontario society demographically, conduct the audits.

3. Institutional and Stakeholder Reactions

By and large, institutions were supportive of the overall thrust of the proposal outlined by Council; that is, that universities have a responsibility to be accountable for academic quality, that the institutions themselves should conduct the reviews, and that an audit process be conducted by an independent committee.

There were, however, a number of concerns expressed about the prospect of establishing system-wide minimum standards, about the detailed review stages and process recommended

by the Council, whether quality reviews should be linked to eligibility for public funding, and that the proposed audit appeared more summative than formative. There was a general belief that institutional diversity and autonomy should be protected and enhanced by the review process, and that the Council should avoid, therefore, imposing measures which would lead to homogeneity.

Seven institutions (Carleton, Laurentian, Nipissing, Ottawa, Queen's, Waterloo and the Ontario College of Art) indicated, at the time of the 1992 Fall hearings, that they did not have existing formal review procedures for undergraduate programs. Waterloo referred to its extensive reliance on accreditation results for its professional programs and noted that other undergraduate programs are reviewed as the occasion requires. Carleton and Laurentian stated that they were in the process of developing review procedures. Nipissing and Queen's had recently issued strategic planning documents proposing that such procedures be developed. OCA indicated that its Restructuring Task Force would address the issue of program quality reviews.

Only one institution (Guelph) expressed serious alarm at the potential cost of adapting its procedures to the Council's then-proposed timetable of a seven-year cycle from the Guelph's current ten-year cycle. The others with existing review procedures indicated that they could modify their procedures to conform with the Council's proposal with little disruption or additional cost, in periods ranging from one to three years. One institution noted, however, that it expected that the reviews would identify the need for expenditure required to bring programs up to a recommended standard, and wondered how such recommendations could be afforded. It should be noted, however, that Council's proposal specified that the standards must reflect the fiscal realities of Ontario universities.

The Council of Ontario Universities argued vigorously in favour of an OCGS model for undergraduate programs, with institutional quality reviews audited centrally by COU on a sectoral (or broad disciplinary) basis, and with a committee of OCUA monitoring the credibility of both undergraduate audits and graduate appraisals but conducting no audits of its own.

The Ontario Confederation of University Faculty Associations opposed a system-wide review process, minimum standards for the system and central audits, although it called on each institution to develop its own undergraduate quality review procedure, which should also include elements of social accountability. Such reviews, OCUFA suggested, could be used as a basis to begin involving local community representatives in monitoring institutional accountability.

The Ontario Federation of Students, in supporting a system of program quality reviews at each institution, offered suggestions on how student opinion might best be obtained through organized surveys, which should subsequently become public. OFS suggested that a questionnaire be developed to target students in their last or second-to-last year in the program, to touch on program structure, tutorials, labs, electives, gaps/overlap in the curriculum, etc.

The Confederation of Ontario University Staff Associations offered two observations on the subject of program quality reviews: that administrative staff members at Ontario's universities want to be involved in the governance of each institution, including participation in program reviews; but that institutional administrators must create appropriate conditions to make such participation possible, e.g., by ensuring time off for meetings, sufficient back-up for staff who are at meetings, etc.

In terms of specific comments by institutions, the University of Toronto offered perhaps the most vigorous and comprehensive critique of the Council's proposal, suggesting that the entire section detailing the review process should be omitted, on the grounds that it is "too prescriptive, too homogenizing and too presumptuous". Council should simply ask each institution to file a copy of its review procedures with the Council, which would then make the procedures public, subject them to audit and comment, and essentially formalize the procedures as a performance contract between the university and the Council. The Ontario College of Art endorsed the University of Toronto brief in this regard, while noting the support within OCA for introducing a formal process of program reviews.

Only a very few institutions supported the proposal that the Council develop minimum standards for the system at the outset (and then only following broad public consultation). Most argued that such standards could be identified, if at all, only after a number of years of experience conducting audits. Some institutions (in particular, Ryerson's very thoughtful brief) suggested that, rather than attempting to specify system standards, Council should develop minimum "parameters", "performance indicators", "procedures" or a "standard framework", that each institution's review process must include. The following examples of parameters were offered:

- The results of the review must be made public [OCA];
- Reviews must include external assessments [various institutions, including York, Toronto and OCA];
- The review process must be approved by institution's governing board [Toronto];
- The process must specify how the reviewers are selected [Toronto];
- The process must specify what the schedule will be [Toronto]; and
- The process must specify how student assessment will be included [COU].

A frequently expressed view was that reviews and audits must be conducted and assessed in the context of an institution's mission statement and academic plan.

In most cases, a memorandum of agreement, as the proposed culmination of the review process, would represent a more formal step than most institutions currently require. Some institutions suggested that institutional variations be permitted, such as a formal response from the central administration specifying follow-up. An assessment of follow-up, it was argued, should focus less on examining whether each and every recommendation from the review process has been acted upon, but rather on whether the review process has made possible an environment in which change is occurring and the major issues are being addressed.

Major concerns were expressed over the proposal that funding eligibility should be linked to quality reviews. In the case of new programs, it was argued that many of the elements to be considered in program reviews would not be available to be measured, and that the current requirement - that the senate of each institution attest to the quality of a new program proposal - is sufficient, less costly and represents less of a delay in program start-up.

A linkage to continued funding eligibility for existing programs was seen as problematic if the unit under review were a department with a number of degree programs. Whereas graduate programs, which are subject to withdrawal from funding eligibility if a sufficient standard of quality is not maintained, are appraised at the specific level of a Master's or Doctoral degree program, it could be difficult to isolate the strengths and weaknesses of specific undergraduate degree programs from an overall departmental or divisional quality review. There was also a concern that, whereas a university could exist without any number of graduate programs, it might not be possible or desirable to do so without a core Arts and Science discipline that might receive a poor quality review. Institutions argued that bad publicity, moral suasion and competition would be more effective incentives than funding penalties in forcing institutions to address poor quality.

Institutions were divided on the question of whether members of the public should serve on the Academic Quality Audit Committee. Some argued that members must be exclusively distinguished academics, in order to maintain credibility with the institutions. Others, however, suggested that individuals who had gained sufficient familiarity with university operations (e.g., through service on boards of governors or as members of senates) could make useful contributions on an Audit Committee, provided the majority of members and the chair were full-time academics. One institution observed that members of the public would have two other occasions to review and comment on the audits (and thus need not necessarily be on the Audit Committee): as members of institutional governing boards and as members of Council, through which the Audit Committee would report.

A few institutions expressed concern with how much information from the reviews should become public, either within the institution (in a report to the senate and governing body) and in a report to the Minister. At some institutions, such as Toronto, program review reports (usually without external reviewers' comments) are submitted in full to a public meeting of the governing council. At other institutions, edited reports only are submitted, if at all, to the senate or board.

Some institutions questioned why the proposed Academic Quality Audit Committee should assume, from the Academic Advisory Committee, the responsibility for assessing the appraisals process of OCGS, arguing that graduate and undergraduate review processes should be kept separate in order to preserve the respective strengths and specialized foci of each.

A requirement to consult with employers and community representatives on the social relevance of undergraduate programs was seen by some as problematic, particularly with those disciplines for which there is no obvious labour market or current identifiable demand, but which must nonetheless form part of the Liberal Arts curriculum.

Some questions were raised about the roles of both Council and the Minister in the program review/audit process. There was a firm belief that the Academic Quality Audit Committee must be kept at arm's length and independent, reporting *through* rather than *to* Council. Institutions were unclear, however, whether Council would have a role in commenting on, adding recommendations to, or simply transmitting intact the report of the Audit Committee. Some also wondered what the Minister would say in response to reports of the Audit Committee, much of which presumably would be submitted for information. There was one suggestion that the Minister's response stage be eliminated from the process.

There was no opposition to the proposal to assess student opinion in an organized manner. York University commented that not all of its recent reviews included organized student opinion, but that the best reviews do have it, and that the system-wide process should require it.

York spoke enthusiastically about its experience with the Harvard Assessment Seminars, and their application at York, as a means of assessing students' learning experiences. The process focuses on developing effective feedback mechanisms which result in changes that can be introduced in the classroom at once and improve student performance immediately. York urged Council to focus on the development of effective feedback mechanisms, rather than measuring outcomes, as the best method of achieving continuous improvement in the classroom, where it counts. An effective review process must be built on and follow from the assessment of what and how students are learning.⁹

4. Task Force On University Accountability

Although most of the recommendations of the Task Force on University Accountability address issues related to fiscal and management accountability, the Task Force's final report (issued on May 13, 1993) commented on some academic matters, including reviewing the quality of undergraduate programs.

Specifically, the Task Force has recommended that universities explain more clearly the relationship between teaching and research, how priorities are established between research and undergraduate programs and how the institution assesses undergraduate quality.

In conducting quality reviews of undergraduate programs, institutions are urged by the Task Force to consider using the following **performance indicators**:

- library resources per student;
- proportion of students holding scholarly awards;
- proportion of faculty with Doctorate or equivalent senior credential;
- balance of full-time and part-time instruction;

9. York University, Brief to the Ontario Council on University Affairs, November, 1992.

- instructional load, expressed as both teacher-student ratio and student contact hours;
- allocation of resources.

Table 1 outlines all of the performance indicators developed for the Task Force.

Finally, the Task Force has recommended that the governing board of each institution receive a report on the results of undergraduate quality reviews, whether undertaken by the institution itself or by external agencies. All such reports should include information on the weaknesses or deficiencies identified and the steps being taken to remedy these. "While the use of performance indicators can assist in measuring effectiveness, program reviews are likely to prove to be much better measures of how well universities are fulfilling their missions".¹⁰

5. Council's Deliberations

Following its consultations with the institutions and stakeholder groups, Council gave further consideration to the underlying needs and objectives of the exercise. Council has concluded that the need to review quality has been established and is recommending that such reviews be undertaken. Secondly, it reconsidered the three basic approaches to program review, which might be summarized as: centrally-controlled direct external academic evaluation; a simple extension of the responsibilities of the Ontario Council on Graduate Studies to the undergraduate area; or a minimalist "monitored self-regulation" approach. Council reconfirms and recommends the latter approach for a number of reasons:

- it respects the tradition of institutional autonomy in Ontario;
- it recognizes that local stakeholder acceptance is essential for the achievement of self-improvement;
- it is the least costly and disruptive approach;
- it represents an effective process for ensuring the public accountability of academic quality.

10. Task Force on University Accountability, University Accountability: A Strengthened Framework, May 1993, p. 57.

Table 1

**PERFORMANCE INDICATORS DEVELOPED FOR
THE TASK FORCE ON UNIVERSITY ACCOUNTABILITY**

Indicator	Respon- siveness	Quality	Perfor- mance	Resources	Mission
1. Distribution of entering grade average	•	•			•
2. Acceptance or yield rate		•		•	
3. Research grants per professor		•	•		
4. Research yield		•	•		
5. Research grants as a % of revenue *			•		•
6. Research contracts as a % of revenue *			•		•
7. Tenured faculty a. faculty holding tenure b. eligible faculty receiving tenure				• •	
8. Library resources a. volumes acquired b. volumes held c. total spending		• •		• •	
9. Per cent of international students	•			•	•
10. Per cent of faculty holding scholarly awards		•			
11. Per cent of students holding scholarly awards		•			
12. Per cent of living alumni making gifts				•	
13. Student retention a. quality b. institutional or program performance * c. management and allocation of resources *	• •		•		•
14. Space allocation				•	
15. Space utilization a. classrooms b. teaching laboratories				•	

Table 1					
PERFORMANCE INDICATORS DEVELOPED FOR THE TASK FORCE ON UNIVERSITY ACCOUNTABILITY					
Indicator	Respon- siveness	Quality	Perfor- mance	Resources	Mission
16. Courses scheduled/courses offered *				•	
17. Time to graduation *	•		•		
18. Per cent of faculty with Doctorate	•				
19. Educational technology	•				
20. Academic support		•		•	
21. FT/PT instruction				•	
22. Academic staff on research leave				•	
23. Instructional load a. teacher-student ratio * b. student contact hours * c. graduate thesis supervision * d. class size				• • • •	
24. Allocation of resources				•	•
25. Curricular articulation with CAATs	•			•	

* output measures

Source: Task Force on University Accountability, University Accountability: A Strengthened Framework, Appendix G, May 1993, pp. 145-146.

93-VII The Ontario Graduate Scholarship Program 1994-95

Summary

Council reviews the Ontario Graduate Scholarship Program on an annual basis to provide advice to the Minister on the value, number and distribution of these awards.

At times Council will address other relevant concerns and issues that are current, or were raised in previous years. Council has reviewed the regular aspects of this advice and those issues raised by the Minister's response to last year's advice. As a result, Council recommends in this Advisory Memorandum that:

- the number of general Ontario Graduate Scholarships for 1994-95 be maintained at a total of 1,300 for the open competition, the institutional awards and the visa student awards;
- the Ontario Graduate Scholarship stipend value 1994-95 be maintained at \$11,859 or \$3,953 per term; and
- the number of Ontario Graduate Scholarships awarded to persons on student visa in 1994-95 be maintained at 60.

1.0 Introduction

Government established the Ontario Graduate Scholarship (OGS) Program in 1973 to encourage excellence in graduate studies. Since then, the program has played a critical role in attracting and nurturing excellent new scholars in this province. In this Memorandum, Council submits its advice on the value, number and distribution of the Ontario Graduate Scholarships for 1994-95.

Council has also been asked by the Minister, in his response to advice submitted in Advisory Memorandum 92-X, The Ontario Graduate Scholarship Program 1993-94, to advise regarding a targeted bursary program. In the context of examining the question of access to graduate study for underrepresented groups, Council intends to identify possible strategies to encourage the elimination of barriers, including through the provision of bursaries. On account of the time required in performing an appropriate level of research into the bursary issue, Council has elected to examine and recommend on the issue in a separate piece of advice, to be submitted to the Minister in spring of 1994.

The regular Ontario Graduate Scholarship Program advice included here is tendered in accordance with Council's long-term objectives for the Ontario Graduate Scholarship Program, as outlined in Advisory Memorandum 85-VI, The Ontario Graduate Scholarship Program, 1986-87; the modifications to the institutional award category which were recommended in Advisory Memorandum 87-IX, The Ontario Graduate Scholarship Program, 1988-89; and the four-year plan for the expansion in the number of awards recommended in Advisory Memorandum 89-VIII, The Ontario Graduate Scholarship Program, 1990-91.

2.0 Number of General Awards

For the 1993-94 OGS Program, Council recommended that the total number of open, institutional and visa OGS awards be maintained at the 1992-93 level of 1,300. Council continues to believe that there is a strong need to support as many qualified applicants as possible in graduate study, even in times of fiscal restraint. The 1991-92 increase of 100 awards responded to a number of pressures experienced by universities from increasing numbers of highly-qualified students enrolled in graduate studies. These pressures continue to exist.

During the period from 1978-79 to 1993-94, the number of applicants for OGS awards has increased 81% (see Table 1). Most recently, the number of eligible applicants has increased 3.3% in 1993-94, in relation to 1992-93. The proportion of applicants supported by OGS increased marginally with the additional awards from 15.3% in 1990-91, to 15.7% in 1991-92;

Table 1

Number of OGS Awards and Applicants 1978-79 to 1993-94

	<u>Number of Awards Available</u>	<u>Total Number of Eligible Applicants¹</u>	<u>% of Applicants Supported by the Program</u>
1978-79	1,200	5,041	23.8
1979-80	1,200	5,171	23.2
1980-81	1,200	5,711	21.0
1981-82	1,000	5,971	16.7
1982-83	1,200	6,249	19.2
1983-84	1,200	7,222	16.6
1984-85	1,200	7,320	16.4
1985-86	1,200	7,305	16.4
1986-87	1,200	7,190	16.7
1987-88	1,200	7,473	16.1
1988-89	1,200	7,771	15.4
1989-90	1,200	7,854	15.3
1990-91	1,200	7,827	15.3
1991-92	1,300	8,269	15.7
1992-93	1,300	8,851	14.7
1993-94	1,300	9,145	14.2

1. Sources: Ministry of Colleges and Universities, Students Awards Branch; Ontario Graduate Scholarship Programme Report of the Chair of the Selection Board for the 1993-94 Competition, October, 1993.

however, in the two years since then, this proportion has been decreasing to 14.7% in 1992-93, and to 14.2% in 1993-94.

In September, 1992, the Report of the Council of Ontario Universities (COU) Task Force on Faculty Renewal entitled "Renewal of the Professoriate" was released. One of the significant conclusions reached by the Task Force was that "on a strong cautionary note that, while it would not be appropriate to signal an impending crisis, it would be equally inappropriate to declare that all is well."¹ From the outcome of the analyses performed for this Report, it becomes apparent there are fewer concerns regarding the future of faculty supply than was once considered to be the case.

This Report was commissioned to respond to the forecast of future shortages of qualified faculty in most jurisdictions and disciplines. The study examined the factors influencing future demand for replacement faculty by assessing trends in future sources of supply for replacement candidates.

One cause of future faculty shortages is expected to be retirement of current faculty towards the end of the decade. Part of the analysis done by COU projects that Ontario's annual faculty replacement requirements, that are entirely attributable to increased rates of retirement, will increase 15% by the end of the decade².

Another aspect of the analyses done was to examine future sources of supply and their ability to replace anticipated shortages. Overall, the Report found that shortages might not be significant, under the best case scenarios that were projected; under the worst case scenarios, there were some discipline areas that might experience shortages, but not to the extent previously anticipated.

To quote the Report, "The projections of supply and demand for replacement professoriate suggest that Ontario's universities are, on balance, well prepared for the 1990s in terms of increased production of doctoral candidates."³ There was an indication that much of the future of the faculty renewal process is dependent on external market forces. If they remain unchanged, shortages will be modest and confined to certain disciplines.⁴

The implications of the COU Task Force Report on the awarding of Ontario Graduate Scholarships may be simply that the need for increasing the number of awards is not as pressing for faculty renewal reasons as was once thought. OGS application figures indicate a steady increase over the years; if sustained growth is to occur, it will likely be in the area of graduate studies, again implying that a crisis situation for faculty renewal is not imminent.

According to the concluding observations in the Report, the Task Force recommends that COU, through the Council on University Planning and Analysis (CUPA), "maintain a watching brief on trends in the academic labour market, and that the findings be reported annually to the COU."⁵ Given this context, Council suggests that the recommendation of COU to 'wait and watch' be followed closely. It is possible that the monitoring of external factors will necessitate

1. Council of Ontario Universities, Renewal of the Professoriate, Report of the COU Task Force on Faculty Renewal, September, 1992.

2. Ibid., p. 10.

3. Ibid., p. 37.

4. Ibid., p. (i).

5. Ibid., p. 43.

a revisiting of the issue in later years if a significant shortage is again projected. Council will observe with interest COU's further examination of this area.

While the current number of OGS awards may appear sufficient in terms of numbers of Doctoral students required in the future to replenish faculty, Council would like to point out that the awards are not solely intended for that purpose. The OGS awards serve other broader purposes in Canadian society, not the least of which is the provision of an educated populace, and an employable one. The report of the COU Task Force cites a Statistics Canada survey indicating that approximately 40% of Doctoral graduates are employed by universities. This figure appears to have been consistent for a number of years. The other approximately 60% of Canadian Doctorate holders are identified as being employed full-time in a range of other sectors, including public sector, business management and manufacturing.⁶

Although Council firmly believes that there is ample need and student demand to warrant additional support, Council is cognizant of the existing environment of fiscal restraint and therefore recommends that the total number of general OGS awards for 1994-95 be maintained at 1,300.

Accordingly, Council *recommends to the Minister:*

OCUA 93-59

*NUMBER OF GENERAL ONTARIO GRADUATE SCHOLARSHIPS
FOR 1994-95*

THAT for 1994-95, a total of 1,300 Ontario Graduate Scholarships be made available for:

- a) open competition;
- b) institutional awards;
- c) visa students; and

THAT institutional awards for 1994-95 be distributed according to Recommendation 87-40 in Advisory Memorandum 87-IX.

3.0 Scholarship Stipend Value

In establishing the minimum stipend value for 1993-94, the increased amount recommended to the Minister in Advisory Memorandum 92-X, The Ontario Graduate Scholarship Program 1993-94, was not implemented in 1993. Following Council's recommendation, the Minister announced that the value of the Ontario Graduate Scholarship stipend for 1993-94 would remain at \$11,859 or \$3,953 per term.⁷ This award level has not changed since 1991-92. As a result, the value of the stipend has not kept up with the increase in the cost-of-living for students which has occurred during these past two years.

To encourage excellence in graduate studies within the Ontario university system, Council believes that the OGS stipend must be set at a level which will attract and retain superior graduate students. For a number of years, Council has recommended that the value of the OGS stipend should be set at its original level of 80% of the average value of the Federal government scholarships available from the Natural Sciences and Engineering Research Council (NSERC)

6. Ibid., p. 28.

7. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, August 4, 1993.

and the Social Sciences and Humanities Research Council (SSHRC). For 1993-94, the OGS stipend value dropped short of that target with a value of 77% of the average value of the NSERC and SSHRC awards. (See Table 2.)

Council notes the current financial constraints on Government spending. However, Council also notes that other major scholarships have, until this fiscal year (1993-94), kept pace with the increase in the cost-of-living, while the OGS stipend has not always done so. Maintaining the value of the scholarship at 80% of the estimated 1994-95 value of the NSERC and SSHRC awards, will also continue to maintain the status, importance and effectiveness of the OGS Scholarship. The level of graduate funding is clearly an important factor in the completion rate and the time to completion of graduate students. Enhanced scholarship support reduces students' financial burden and increases the likelihood of students not only completing their graduate studies, but also completing them within a reasonable period of time.

Furthermore, attracting excellent scholars to Ontario universities increases the likelihood that such individuals will remain in Ontario and contribute to the growth and development of Ontario's economy.

If the OGS award were to be valued at 80% of the estimated mean of the NSERC and SSHRC awards in 1994-95, it would be necessary to raise the value of the OGS award. The indications from both SSHRC and NSERC are that next year's award values will remain unchanged, as they have in 1993-94. However, even if the SSHRC and NSERC award values do not increase in 1994-95, to return the OGS stipend value to 80% of their current mean value would require the OGS stipend to increase by 3.6% to \$12,291, or \$4,097 per term.

While Council feels that the OGS stipend value should keep pace with SSHRC and NSERC at a level of 80% of their mean value, Council also recognizes that the current fiscal climate makes it difficult to recommend any further dollar increases to the stipend value. In recognition of the current fiscal climate, Council recommends that the value of the stipend remain unchanged from the 1993-94 level. Council would, however, like to stress that a watching brief be kept on the trend in the value of the SSHRC and NSERC awards so that the gap between these awards and the targeted value of the OGS award does not become too wide. Council's goal for the OGS stipend value still remains at 80% of the mean value of the SSHRC and NSERC awards.

Accordingly, Council *recommends to the Minister:*

OCUA 93-60

ONTARIO GRADUATE SCHOLARSHIP STIPENDS 1994-95

THAT in 1994-95, Ontario Graduate Scholarships carry a minimum stipend value of \$11,859 or \$3,953 per term.

4.0 Visa Student Awards

The Ontario Graduate Scholarship program rewards visa student scholars for academic excellence and permits Ontario universities to compete with other provinces, and other nations, for outstanding visa students.

Council strongly believes that the presence of a minimum number of academically outstanding visa graduate students in Ontario greatly benefits the universities in which they are enrolled, as well as the province and country as a whole. Council feels that the value of having visa graduate students attend Ontario universities cannot be understated. Visa students strengthen Ontario society on many levels: they provide a valuable contribution to the enhancement of the learning environment of our own students; they encourage the sharing of world views in an ever-increasing environment of globalization; and they provide the opportunities for establishing future partners and collaborators in world trade and educational endeavours.

Table 2

Comparative Scholarship Stipends

NSERC/SSHRC	SSHRC			OGS as % of Average Value
	OGS	NSERC PGS Awards ¹	Doctoral Scholarships	
1974-75	\$ 3,400 ²	\$ 4,500	\$ 4,000	80
1975-76	3,400	5,000	5,000	68
1976-77	3,750	5,520	5,500	68
1977-78	4,350	6,000	6,000	73
1978-79	4,500	6,360	6,360	71
1979-80	4,800	7,000	6,750	70
1980-81	4,890	8,500	7,860	60
1981-82	5,700	9,350	8,760	63
1982-83	6,270	10,500	9,720	62
1983-84	6,585	11,100	10,800	60
1984-85	6,915	11,600	11,340	60
1985-86	7,305	11,600	11,640	63
1986-87	8,760	11,600	12,000	74
1987-88	9,105	11,600	12,000	77
1988-89	9,510	12,750	12,240	76
1989-90	10,200	14,100	12,720	76
1990-91	11,298	14,640	13,356	81
1991-92	11,859	15,655	14,016	80
1992-93	11,859	16,338	14,436	77
1993-94	11,859	16,292 ³	14,436	77

Notes:

1. NSERC post-graduate scholarship (PGS) values are those in effect in the Fall of each academic year.
2. Adjusted to take account of the integration of fees into the award in 1976-77.
3. Average value of NSERC awards of \$15,600 for years 1 and 2 of graduate studies and \$17,400 for years 3 and 4 of graduate studies, weighted by the actual distribution of awards held in 1993 (61.5% in years 1 and 2 and 38.5% in years 3 and 4). There has been a change in rules for renewals of NSERC awards which will result in a carryover between policies that results in a lower number in the category of 3rd and 4th year awards that has caused a slight decline in the average weighted value of the award.

Council recognizes that the existing fee structure for visa students already makes it very difficult for international students to come to study in Ontario. Council does not wish to see these financial difficulties exacerbated. However, once again Council recognizes the pressures of the current fiscal climate; therefore, Council recommends that the present number of visa student awards be maintained to enable the continued valuable contribution these students make to Ontario.

Accordingly, Council *recommends to the Minister:*

OCUA 93-61

*ONTARIO GRADUATE SCHOLARSHIPS TO PERSONS ON
STUDENT VISA IN 1994-95*

THAT in 1994-95, 60 scholarships be reserved for persons who, at the time of application, are student visa holders.

5.0 Institutional Awards

In the Ontario Graduate Scholarship Report of the Chair of the Selection Board for the 1993-94 competition, a recommendation was made that the "Ontario Graduate Scholarships presently designated as Institutional awards be reallocated to the open competition."⁸ This arose from a concern that the Board had that "the academic calibre of Institutional awardholders is generally lower than that of reversion list candidates in the open competition, for whom funds are often insufficient to grant scholarships."⁹

Council feels that there continues to be a need to maintain institutional awards. For this reason, Council is not recommending any change to the distribution of the general awards.

6.0 Conclusion

The Ontario Graduate Scholarship Program is an effective instrument for enhancing the quality of graduate education in Ontario and furthering Government's objectives of achieving quality in the Ontario university system. A strong Ontario Graduate Scholarship program ensures the presence of a critical mass of excellent graduate students at Ontario universities. The encouragement, recognition and reward of academic achievement are crucial to the growth and competitiveness of the provincial economy in an increasingly knowledge-based society and the enhancement of the intellectual and cultural life of the province.

Council would like to reiterate that it feels an expanded and strengthened OGS program can effectively respond to the challenges of the future. However, Council also recognizes the current fiscal climate and the requirements it imposes. Council hopes that, in the future, its goals for the OGS will be met.

Joy Cohnstaedt,
Chair

December 10, 1993

8. Ontario Graduate Scholarship Programme Report of the Chair of the Selection Board for the 1993-94 Competition, October, 1993, p. 18.

9. Ibid., p. 16.

93-VIII The Removal of \$58.5 Million from Ontario Institutions Funded Through University Operating Grants and the Funding Eligibility of Additional Qualifications Courses for In-Service Elementary and Secondary School Teachers

Summary

In this Advisory Memorandum, Council recommends on the funding eligibility of Additional Qualifications (AQ) courses for in-service elementary and secondary school teachers, and procedures for removing \$58.5 million from institutions that are funded through Ontario university operating grants.¹ Council issued a background paper which developed three possible options for removing the funds and invited comments in the form of written submissions from a variety of groups with an interest in these issues. This was followed by a public hearing.

Council is grateful for the comments it has received. In formulating its advice to Government, it has taken into account the views that have been put forth. In this Advisory Memorandum, a process is recommended for the removal of \$58.5 million which takes into consideration the following objectives:

- enabling stability of funding and the viability of all institutions in the system within the current block grant and corridor system of financing;
- providing for inter-institutional equity; and,
- recognizing the general accessibility and other policy objectives of Government.

Council recommends the following with respect to funding eligibility of AQ courses and the funding reductions:

- For 1994-95, maintain the eligibility and reporting of AQ course enrolments pending a policy decision from the Ministry of Education and Training (MET) regarding the future role of universities in the in-service training of elementary and secondary school teachers. The continued eligibility of AQ course enrolments should be reviewed prior to 1995-96.
- Follow the phase-out of funding identified by Government: in 1994-95, increase the funding to be removed to 33% of \$58.5 million, or by a net additional amount of \$13.4 million to \$19.3 million; in 1995-96, increase the funding to be removed to 67% of \$58.5 million or by a net additional amount of \$19.9 million to \$39.2 million; and, in 1996-97, increase the funding removal to 100% of the \$58.5 million or by a net additional amount of \$19.3 million to \$58.5 million.
- In recognition of the potential for those institutions that have offered AQ courses to reduce the direct costs associated with these courses and/or to offset some of the revenue

1. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 3.

reduction through increased unit AQ fee revenue, Council recommends that AQ course institutions' share of the reduction be larger than that for non-AQ institutions.

- Council recommends that the AQ institution-specific portion of the funding reduction be allocated according to these institutions' share of AQ course enrolments, as measured by teacher record card AQ data averaged over the 1989-90 to 1992-93 period (see Appendix A, Table A-1 for teacher record card AQ data by institution).
- With respect to the level of the grant reduction that is allocated on an AQ institution-specific basis, Council recommends that it be set at \$6.3 million and increased annually by the percentage increase in system formula fee rates in each of the years, for the period 1994-95 to 1996-97.
- With respect to the balance of the funds that are to be phased-out over the 1994-95 to 1996-97 period, Council recommends that these be allocated as across-the-board reductions in total grants across the funding envelopes on which Council provides advice. (See Table 1.)
- Council recommends that in 1997-98 the full amount of the reduction be allocated across-the-board and that the AQ institution-specific adjustment be removed.
- With respect to current institutional Base BIUs, or corridor mid-point (average of 1983-84, 1984-85, 1985-86 BIUs), the transition to new corridor incremental BIUs and the current formula funding shares associated with the Formula Grants funding envelope, Council recommends that these be unchanged as a result of the funding reduction.

1.0 Introduction

As part of its Expenditure Control Plan, Government indicated this Spring that it plans to remove \$58.5 million of funding from the university operating grants. It also announced its intention to review the eligibility of AQ courses taken by in-service teachers for purposes of enrolment counting. The phase-out period and the amounts of funding to be removed are as follows:

- in 1993-94, remove 10% of the total or \$5.9 million;
- in 1994-95, increase the funding removal to 33% or by a net additional amount of \$13.4 million to \$19.3 million;
- in 1995-96, increase the funding removal to 67% or by a net additional amount of \$19.9 million to \$39.2 million; and,
- in 1996-97, increase the funding removal to 100% or by a net additional amount of \$19.3 million to \$58.5 million.

In Advisory Memorandum 93-IV², Council provided advice on the first year phase-out of 10% of the \$58.5 million from the formula operating grants. For the 1993-94 funding year, \$5.9 million was removed from institutions offering AQ courses through the Formula Grants funding

2. Ontario Council on University Affairs, Advisory Memorandum 93-IV, Modification to Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94, in Light of Government's Expenditure Control Plan Announced by the Minister of Finance, April 1993.

envelope by increasing the level of formula fees associated with an estimator of 1992-93 AQ course BIUs. AQ course enrolments remained eligible for BIU counting in 1993-94.³ The enrolments used to distribute the 1993-94 AQ course funding reductions among institutions offering AQ courses were an estimate of such enrolment levels in 1992-93 based on audited education enrolments which relate more specifically to total in-service teacher education.

In formulating its advice for the 1993-94 reduction in the Spring of 1993, Council asked the institutions to provide AQ course enrolment data. When comparisons of the institutional data were made to data provided by MET, significant discrepancies were found. Since the institutional data were not audited and needed further examination before the discrepancies with Ministry data could be sorted out, Council chose to use an estimate of AQ course enrolment activity based on audited Ministry data that more closely captured total in-service teacher education enrolments.⁴ In the very short time available to Council for framing its advice for 1993-94, Council found that this estimator had the best fit with the institutionally-submitted enrolment data of any of the estimators based on audited data. However, in recognition of the complex data and inter-institutional equity problems, Council recommended an approach for 1993-94 **without prejudice or precedent for how the full sum of \$58.5 million would be phased-out**. Council's advice for the removal of \$5.9 million in 1993-94 was accepted by the Minister of Education and Training in June, 1993, without qualification.⁵

Since that time, Council has developed further advice regarding an appropriate mechanism for the full phase-out of the \$58.5 million. It has also developed advice concerning the funding eligibility of AQ courses. During this period, Council has received some key pieces of correspondence from the Ministry directly bearing on the matter of the removal of \$58.5 million, the eligibility of AQ courses and the policy environment associated with university funding and the training of elementary and secondary school teachers. Specifically, the correspondence concerns: financial mitigation; the future role of universities in the offering of AQ courses; the principles governing funding and accountability procedures in the current transition period to the end of the phase-in of transition to new corridor funding; and, the principles to govern the transition to a future funding mechanism, about which Council is to advise the Minister by the end of 1994.

In September, the Deputy Minister of the Ministry of Education and Training (MET) wrote to the Chair of Council and indicated that Council should consider approaches to mitigate significant adverse impacts on institutions with a high proportion of AQ activity.⁶ The approach recommended by Council mitigates the potentially adverse funding reductions of program-specific withdrawal. It also takes into account that institutions, which have not offered AQ

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3. The 1993-94 reduction was accomplished through the normal formula mechanism by increasing Formula Fee rates to levels which offset the grant reductions and thereby affected only those institutions with AQ course BIUs. This did not affect eligible BIU counts or corridor levels. To effect this outcome, Formula Fee rates were increased by \$831.00 per Fiscal Full-time Equivalent (FFTE) student to \$2,624 or by approximately \$166.00 per course, or, if applied only to the Fall and Winter terms, Formula Fee rates were increased by \$1,825.00 per FFTE to \$3,618 or by approximately \$365.00 per course.
 4. The approximation of AQ course enrolment chosen was based on the residual of total teacher education enrolments, less pre-service teacher education enrolments for full and part-time Summer enrolments and part-time Spring, Fall and Winter enrolments for the formula program of study, FORPOS codes 139, 141, 142 and 143.
 5. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 2.
 6. Letter from Dr. Charles Pascal, Deputy Minister, Ministry of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, September 21, 1993.

courses, are unable to achieve specific cost reductions associated with these funding reductions or to make up lost revenue through fee increases and mitigates against these losses.

Council also received some clarification from the Ministry with respect to Government's expectations as to the role of universities in the provision of in-service training to teachers. In early November, the Assistant Deputy Minister for Policy Priorities and Curriculum Development of MET wrote to the Chair of Council and stated that "...the government message is not for universities to cease offering the courses [AQ courses]."⁷ The approach recommended by Council provides transition time for alternate delivery mechanisms for in-service teacher training to be devised, and for teachers midway through to complete their studies.

Finally, a clear statement of current Government funding policy objectives for universities was enunciated in a letter from the Minister of Education and Training to Council, dated November 24, 1993. In this letter which requests that Council undertake the larger question of a resource allocation reference and anticipates advice late in 1994, the Minister states that:

...In the interim the corridor system of funding will continue to allocate grants and operate within the existing accountability provisions...⁸

The Minister also states in that letter:

I recognize that there is a need for some reasonable measure of stability and predictability in funding systems. I would therefore ask Council to give careful attention to the need to balance these elements with those I have outlined above for an orderly and phased implementation of any changes.⁹

Council's recommended approach is consistent with the Minister's directions as contained in the resource allocation reference. Specifically, in transition to a future funding mechanism, the approach recommended by Council respects the existing funding principles and accountability mechanisms and ensures a reasonable measure of stability and predictability.

This advice contains the following: Section 2.0 Objectives; Section 3.0 Recommended Approach; Section 4.0 Recommendations; Section 5.0 Conclusion; and, Appendix A - The Review, Consultation and Data Issues.

2.0 Objectives

In evaluating the alternative principles and options that have been put forth to it and the impact of the data problems on its recommendations, Council has identified the following objectives or parameters to guide its recommendations:

- to enable stability of funding and viability for all institutions within the current system of block grant and corridor financing;
- to provide for inter-institutional equity; and

7. Memorandum from Jill Hutcheon, Assistant Deputy Minister, Policy Priorities and Curriculum Development, Ministry of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 4, 1993.

8. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 24, 1993, pp. 3-4.

9. Ibid.

- to recognize Government's policy objectives of general accessibility and the provision of in-service teacher training.

The continued stability and viability of all institutions has been a consistent objective of Government over a number of years. At a minimum, no institution's financial viability should be jeopardized by grant reductions. Furthermore, the impact of the funding reductions must ensure that no institution suffer an extraordinary adverse impact. Council also believes that institutional funding instability should not be created by the funding reduction, limiting the degree of fluctuation in income levels in future years.

Council's objective of providing for inter-institutional equity for the Ministry of Education and Training grants suggests, that for the withdrawal of funding eligibility for AQ course enrolments and the removal of \$58.5 million, the institutions involved should be treated in a similar manner to institutions which have faced similar circumstances. It is also Council's intention that the resulting funding levels fall within a fair range of income and the opportunities for cost offsets or revenue replacement by institutions offering AQ courses are taken into account.

Council explored the recent history of removals of funding for programs and the procedures for declaring programs ineligible. Within the current corridor system of block funding, institutions normally would not necessarily experience grant reductions as a result of programs becoming ineligible for formula support because they are able to substitute the newly ineligible BIUs with enrolments from other eligible programs. Institutions can substitute eligible enrolments in other programs to maintain their corridor mid-point, thereby sustaining accessibility. Prior to the introduction of corridor financing, and when programs were declared ineligible, an institution's moving-average of eligible BIUs might have dropped and resulted in a loss of income. However, institutions were able to substitute increased enrolments in other eligible programs to offset the potential income loss for newly ineligible enrolments. Examples of instances where institutions have been allowed to substitute the newly ineligible BIUs with other eligible enrolments are:

- i) "defunding" of graduate programs which do not pass periodic appraisals by OCGS;
- ii) mandated reductions in funding for medical interns and residents during the late 1980s; and,
- iii) preliminary year programs declared ineligible.

With respect to Government-mandated reductions in medical interns and residents enrolments, and in response to a 1991 University of Toronto request for consideration of the funding implications of mandated medical enrolment reductions, the Ministry stated that:

...future mandated reductions that do not bring the university's moving average of enrolment below the 3% corridor level will not affect the universities' basic grants funding. This will in effect prevent the university's base funding from being eroded as a result of mandated enrolment decreases.¹⁰

However, an alternative approach for enrolment reductions mandated by Government was implemented this year when the University of Toronto negotiated a strategic corridor reduction.

10. Letter from B.J. Mackay, Director, University Relations Branch, to Dr. Daniel W. Lang, Assistant Vice-President (Planning) and University Registrar, University of Toronto, July 31, 1991, p. 1.

In July, 1993, the University of Toronto negotiated a strategic corridor reduction associated with mandated medical enrolment reductions whereby the institution's corridor level was reduced and funding transferred out of Formula Grants.¹¹ This agreement is distinct, since it is a negotiated agreement that not only provides a Special Health Research Grant for a 15-year period which offsets the Formula Grant loss associated with the strategic corridor reduction, but it also provides an additional Special Purpose Grant for a four-year period to substitute for the tuition fee revenue loss.¹²

In examining the feasibility of strategic corridor reductions, Council was cognizant that Government continues to maintain general accessibility as a policy priority. The approach recommended by Council must not only encourage the general accessibility objectives of Government, but also be perceived to do so. Reductions to institutional corridors are inconsistent with Government's accessibility commitments. Any solution which involves a corridor reduction will be perceived to impede access.

The solution, however, must be consistent with the range of funding currently deemed equitable by Council and Government, namely an institution's Base BOI/BIU should not be more than 6 to 7% less than the system average. Targeting the \$58.5 million reduction fully towards AQ institutions without strategic corridor reductions would cause institutional Base BOI/BIU, in some instances, to fall significantly below 93% of the system average, which is unacceptable in terms of the funding currently deemed equitable.

Recently, Government also affirmed that universities have a continuing role in the provision of in-service teacher training. Consequently, Council must be cognizant of the impact of its advice on the provision of in-service teacher training and the universities' role in this. Given recent policy directions from Government in the matter of the eligibility of these courses, it is important for universities to continue to offer AQ courses until such time as appropriate policies for the continued provision of in-service teacher training are devised. A transition stage is needed which allows for possible new co-operative arrangements and differentiation in the delivery of in-service teacher training to be explored or to evolve over time. Universities may have a key role to play in this process.

3.0 Recommended Approach

In considering factors of inter-institutional equity for MET grants, funding stability and viability for all institutions in the system, and consistency with Government accessibility and teacher training objectives, Council has sought a solution which achieves a balance among these factors.

In 1993-94, \$5.9 million was removed from AQ institutions. The balance of the phase-out of the \$58.5 million in base operating grants is an additional \$13.4 million in 1994-95, an additional \$19.9 million in 1995-96 and an additional \$19.3 million in 1996-97. Council's advice covers these years.

There are two aspects to the approach recommended by Council. First, a part of the grant reduction should be allocated as an AQ institution-specific funding reduction, according to these institutions' share of AQ enrolments as measured by teacher record card AQ data (see Appendix A, Table A-1) averaged over the four-year period, 1989-90 to 1992-93. In order to avoid funding instability for AQ institutions, the level of grant reduction allocated on this basis should remain relatively unchanged over the next three years and only be increased annually by the percentage increase in system formula fee rates. The AQ institution-specific grant reduction would last for

11. Undergraduate Medicine Agreement Between the Minister of Education and Training and the Governing Council of the University of Toronto, July, 1993.

12. In the current environment, Government's fiscal and enrolment objectives cannot be met if all targeted enrolment reductions are accompanied by Government-sourced revenue replacement.

three years, 1994-95 to 1996-97. Second, the remaining portion of the grant reduction should be allocated as an across-the-board reduction in total operating grants to the envelopes on which Council provides advice; that is, a general grant reduction shared by all institutions. In 1997-98, the entire \$58.5 million should be allocated on an across-the-board basis.

Council recommends that the share of the total annual grant reduction, absorbed on the AQ institution-specific basis, roughly reflects the level of formula fee revenue generated in recent years by AQ courses. Council believes that the appropriate level of increased burden for AQ institutions is approximately the equivalent of the formula fee revenue generated prior to the adjustments made in 1993-94 (approximately \$9.5 million). This is seen as being an appropriate level of mitigation to non-AQ institutions which do not have the ability to reduce costs in this program area or to generate increased revenues.

Since the \$58.5 million in grants is being phased-out gradually over a four-year period, Council believes that it is also appropriate to reflect the phase-out provision in the mitigation proposed. AQ institutions absorbed a \$5.9 million cut in operating grants in the 1993-94 funding year. If this mitigation tracks the grant phase-out schedule, over the period 1994-95 to 1996-97, the AQ institution-specific allocation would drop from \$5.9 million in 1993-94, to \$3.1 million in 1994-95; and grow by \$3.3 million to \$6.4 million in 1995-96 and by a further \$3.1 million to \$9.5 million in 1996-97. In the following year, it would be reduced to zero. In order to minimize income fluctuations, Council recommends that the grant reduction allocated on the AQ institution-specific basis, increase by \$0.4 million from \$5.9 million to \$6.3 million, and be increased annually by the general increase in the formula fee rate for the university system for the period 1994-95 to 1996-97.¹³ The \$6.3 million figure is the estimated average of the AQ course formula fee revenue generated prior to the adjustments made in 1993-94 (approximately \$9.5 million), if phased-in according to the 33%, 67% and 100% schedule for grant elimination over the 1994-95 to 1996-97 period; or the mean of \$3.1 million in 1994-95, \$6.4 million in 1995-96 and \$9.5 million in 1996-97.

For 1994-95, Council recommends that this AQ-specific reduction be implemented through increased formula fees for AQ enrolments, leaving these enrolments eligible for counting purposes. These reductions and those in subsequent years should be distributed according to each institution's level of AQ courses completed as recommended by Deans of Education, for teacher record cards, for the four-year period of 1989-90 to 1992-93.¹⁴

The amount of the reduction that is to be allocated on an across-the-board manner is that remaining in each year of the 1994-95 to 1996-97 period after the AQ institution-specific funding amounts are removed.¹⁵ (See Table 1). This residual reduction will be allocated across all funding envelopes on which Council provides advice.

The approach proposed by Council does not reduce present corridor entitlements and commitments, and maintains the eligibility of AQ course enrolments in 1994-95. The continued eligibility of AQ course enrolments should be reviewed prior to 1995-96. If, as a result of the

13. It should be noted that when the formula fee rates for 1994-95 are known, this \$6.3 million figure will be increased for 1994-95 by the percentage change in formula fee rates over 1993-94 levels.

14. All of the institutions that have been identified as offering AQ courses, and for which there are Ministry data on AQ courses recommended for in-service teacher record cards by Deans of Education, are funded according to a four-year moving-average in the Transition to New Corridor Mid-Points Grants in the 1993-94 funding year: Brock University, Lakehead University, Laurentian University, Nipissing University, University of Ottawa, Queen's University, University of Toronto, University of Western Ontario, University of Windsor and York University.

15. The residual amount that is allocated on an across-the-board basis will decline in proportion to the formula fee increase impact on the AQ institution-specific funding reduction for each year in the phase-out period, 1994-95 to 1996-97.

Government's review of in-service teacher education policies, AQ course enrolments become ineligible, then the additional grant reduction to AQ institutions may no longer be effected through formula fee rate increases. If the AQ courses were declared ineligible, then a separate short-term grant reduction envelope would be established for the balance of the phase-out period.

4.0 Recommendations

Council recommends that the funds be removed, according to the procedures outlined above, for the scheduled phase-out of funding for the period 1994-95 to 1996-97. Council also recommends that the 1994-95 formula fee rates for AQ courses be adjusted upwards, once the change in 1994-95 fee rates is known, and that these courses remain eligible for counting for formula funding purposes in 1994-95.

Accordingly, Council *recommends to the Minister:*

OCUA 93-62

ALLOCATION OF TARGETED FUNDING REDUCTIONS

THAT, a portion of the grant reductions be allocated as an AQ institution-specific funding reduction, according to these institutions' share of AQ enrolments, as measured by teacher record card AQ data averaged over the 1989-90 to 1992-93 period.

THAT, the level of the grant reduction allocated, on an AQ institution-specific basis, be set at \$6.3 million and increased annually by the percentage increase in system formula fee rates for the years 1994-95 to 1996-97.

THAT, for the years 1994-95 to 1996-97, the remaining portion of the identified grant reductions (see Table 1) be allocated as across-the-board reductions in total grants to the funding envelopes on which Council provides advice.

THAT, upon conclusion of the phase-out of funding (1994-95 to 1996-97), the \$58.5 million grant reduction be allocated as an across-the-board reduction to all funding envelopes recommended by Council.

With respect to the funding eligibility and formula fee for AQ courses, Council *recommends to the Minister:*

OCUA 93-63

FUNDING ELIGIBILITY AND FORMULA FEE RATES FOR ADDITIONAL QUALIFICATIONS COURSES IN 1994-95

THAT, for 1994-95, AQ course enrolments remain eligible for counting for funding purposes and that this eligibility be reviewed prior to 1995-96, and that the additional reductions for AQ institutions be effected through increased formula fee rates where formula fees for AQ courses are increased by \$239.07 to \$597.67 per course, or by \$1,195.35 per FFTE to \$2,988.35 at 1993-94 levels, and adjusted according to the change in 1994-95 system formula fee rates.

5.0 Conclusion

Council's recommended approach takes into consideration the Government's policy objectives with respect to: budgetary reductions; inter-institutional equity; stability and viability

of all institutions; accessibility; the principles and objectives of the existing block grant corridor system; the transition to a future funding system; and, the need for a transition to alternate delivery of in-service teacher education.

The recommended approach avoids the need to provide specific mitigation for institutions whose financial viability would otherwise be seriously compromised, by either a partial or total AQ course-specific solution. The formula fee increase, recommended for AQ institutions, results in reductions for these institutions which take into consideration the ability of these institutions to reduce costs in the area of AQ course activity and set higher fees, an ability not shared by institutions not offering AQ courses.

Finally, the recommended approach is a solution which avoids setting a new precedent which might constrain or prejudice future allocative decisions, and is consistent with existing commitments associated with the Education Act and the regulations under that Act.

Joy Cohnstaedt,
Chair

December 10, 1993

Table 1

**The Removal of \$58.5 Million from Ontario Institutions
Funded through University Operating Grants
(\$ millions)**

<u>Grant Reductions</u>				<u>Grant Reductions Allocated to</u>			
				<u>AQ Institutions</u>		<u>Across-the-Board</u>	
	<u>Net Annual</u>	<u>Cumulative</u>	<u>%</u>	<u>Net Annual</u>	<u>Cumulative</u>	<u>Net Annual</u>	<u>Cumulative</u>
1993-94	5.9	5.9	10.1%	5.9	5.9		
1994-95	13.4	19.3	33.0%	0.4	6.3	13.0	13.0
1995-96	19.9	39.2	67.0%	0.0	6.3	19.9	32.9
1996-97	19.3	58.5	100%	0.0	6.3	19.3	52.2
1997-98	0.0	58.5		0.0	0.0	6.3	58.5

Note: The notional \$6.3 million portion of the reduction, that is to be allocated on an AQ institution-specific basis, will change as a result of annual changes to the formula fee rates for the years, 1994-95 to 1996-97. This will also cause the share allocated on an across-the-board basis to change as the residual of the total funds is reduced.

The Review, Consultation and Data Issues

1. What Council Heard

Council initiated its review of the removal of the full \$58.5 million with its Background Paper¹⁶ in September. In that paper, Council identified issues which could affect its advice, set out possible options for the removal of funding and a timetable for consultation. The options set out included: Option 1 - Across-the-Board Reductions in Grants to all Institutions; Option 2 - AQ Course-Specific Funding Withdrawal; and, Option 3 - A Blend of the AQ Course-Specific Funding Withdrawal and Across-the-Board Reductions approaches. The Background Paper also anticipated modifications to these options and alternative options.

Interested parties responded through written submissions to Council. Some of the main concerns expressed to Council in the written submissions included: institutional financial viability; the ability to accurately count AQ course enrolments on either a current or historical basis; decoupling the removal of \$58.5 million from the funding eligibility question; unfunded enrolments above institutions' corridor ceilings; the changing policy environment with respect to in-service teacher certification and uncertainty with respect to what will replace the current system; the changing policy environment with respect to Government intentions for program privatization/cost recovery; and what kind of precedent the AQ course defunding solution would set for future cuts.

The themes that emerged from the submissions focused on the principles, how the options put forth do or do not fit within those principles, and the need for mitigation. The majority of respondents were in agreement with respect to maintaining block funding principles and the corridor system of financing. Several submissions commented on other themes and outlined alternative mechanisms for dealing with the removal of funding.

Several institutions and organizations, in their written submissions to Council, argued for Option 1 - Across-the-Board Reductions.¹⁷ A minority of institutions, in their written

16. Ontario Council on University Affairs, The Removal of \$58.5 million from Ontario Universities and the Funding Eligibility of Additional Qualifications Courses - A Background Paper, September, 1993.

17. Letter from Terrence H. White, President, Brock University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.

Letter from Robert G. Rosehart, President, Lakehead University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 23, 1993.

Letter from Ross H. Paul, President, Laurentian University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993. In its written submission to Council, Laurentian University stated that "In the event that it is simply not possible to implement Option 1 [Across-the-Board Reductions], the third option [Blend of AQ Course-Specific Funding Removal and Across-the-Board Reductions] represents a possible compromise solution under certain conditions."

Letter from Dave Marshall, President, Nipissing University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.

Letter from Marcel Hamelin, Rector and Vice-Chancellor, University of Ottawa, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.

submissions to Council, argued for Option 2 - AQ Course-Specific Funding Removal.¹⁸ Other institutions argued for Option 3 - a blended approach of Option 1 and Option 2 in their written submissions to Council.¹⁹ The case for Option 3 focused on the \$58.5 million overrepresenting

York University, Response to the OCUA Background Paper on the Removal of \$58.5 Million from Ontario Universities and the Funding Eligibility of Additional Qualification Courses, October 22, 1993.

Letter from Emechete Onuoha, Chairperson, Canadian Federation of Students - Ontario (CFS-O), to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 28, 1993.

Letter from Vanessa Kelly, Chair, National Affairs, Canadian Union of Educational Workers (CUEW), to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.

Letter from Jim Streb, President, York University Staff Association (YUSA), to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 19, 1993.

18. Letter from Robin H. Farquhar, President, Carleton University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 21, 1993. In subsequent correspondence to Council, Carleton University recommended a blended approach to the removal of funding in its Carleton University's Summary Comments under a cover letter dated November 12, 1993, from Robin H. Farquhar, President, to Joy Cohnstaedt, Chair of Ontario Council on University Affairs. In that summary, Carleton University stated that "There appears to be no clear justification of the figure of \$58.5M associated with AQ funding," and recommended a blended approach to the removal of funding.

University of Guelph, Brief to the Ontario Council on University Affairs, Funding Eligibility of Additional Qualification Courses, October 21, 1993, under cover letter from M. Rozanski, President, University of Guelph, October 19, 1993. In the University of Guelph written submission, two cases were presented: Case 1. \$58.5 M Appropriate and Case 2. A Figure Less Than \$58.5 M is Deemed Appropriate, pp. 4-6.

Letter from Geraldine A. Kenney-Wallace, President, McMaster University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 21, 1993. In a letter to the Chair of Council from A.L. Darling, Vice-President (Administration), McMaster University, dated November 8, 1993, it was stated that "We have not commented on technical matters and do not know if \$58 million is the right number. We trust OCUA to make this determination...If the best measurement is a number less than \$58 million, then other measures may be called for."

In a letter dated October 22, 1993, James Downey, President, University of Waterloo, stated that "...it seems reasonable to estimate the AQ funding by using an institutional-specific BIU value times an appropriate number of AQ BIUs. We estimate that a little more than \$58 million can be identified by such means."; and, that "If the OCUA should conclude that the AQ amount is less than \$58.5 and seeks to remove the difference from the system as a whole, there should be an increase in tuition to offset the grant loss." p. 2.

Letter from Ron W. Ianni, President, University of Windsor, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.

19. Queen's University, The Removal of \$58.5 million from Ontario Universities and the Funding Eligibility of Additional Qualification Courses, under cover letter from David C. Smith, Principal and Vice-Chancellor, Queen's University, October 22, 1993.

Letter from J. Robert S. Prichard, President, University of Toronto, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.

Letter from David Morrison, Acting President, Trent University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 20, 1993.

Letter from George Pedersen, President, The University of Western Ontario, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 25, 1993.

the value of AQ course funding with the basic premise of this argument being that because of historical funding discounts, AQ courses could not have generated \$58.5 million worth of funding.

Alternative suggestions to the options put forth in Council's Background Paper²⁰ included formula revision, setting all professional development course fees at marginal cost recovery,²¹ and opposition to any cut to an already underfunded system.²² In its submission to Council, the Ontario Secondary School Teachers Federation (OSSTF) stated, "It is our hope that any decision made on the implementation of the \$58.5 million cut will treat all universities and course offerings equitably."²³

A majority of institutions recognized a need for mitigation of the financial impact of either a partial or total AQ course-specific funding withdrawal, but there was no consensus on either the form or sufficiency of mitigation.

Subsequent to the consultations that were initiated by Council through the release of its Background Paper, a hearing on these matters was held with the institutions, and other organizations with an interest in these matters, on November 6, 1993. From both the written submissions to Council and from the institutional presentations at the November 6 hearings, it was found that the majority of views was concentrated around either Option 1 - Across-the-Board Reductions, or Option 3 - A Blend of AQ Course-Specific and Across-the-Board.

In many instances, respondents to Council's Background Paper that supported differing options argued for their preferred option, on the basis of the same principles that they saw as inherent in the current funding system. Institutions in favour of Across-the-Board Reductions argued that only this solution was consistent with current block grant and corridor funding system principles. Similar principles were upheld, by other institutions, as supporting the blended approach of AQ Course-Specific Funding Withdrawal and Across-the-Board Reductions.

The arguments put forth reflected differing interpretations of how block grant and corridor principles could be applied in a specific mandated enrolment reduction by Government. Lakehead University, which supported Across-the-Board reductions in its written submission to Council, stated that:

Lakehead University feels so strongly about preserving the integrity of the current system that Lakehead is supporting a system-wide solution even though in this particular instance we chance to lose additional funding. Therefore, we support a

Letter from Terence W. Grier, President, Ryerson Polytechnic University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 27, 1993.

20. Ontario Council on University Affairs, The Removal of \$58.5 million from Ontario Universities and the Funding Eligibility of Additional Qualifications Courses - A Background Paper, September, 1993.
21. Letter from J. Douglas Lawson, President, Algoma College, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 27, 1993.
22. Letter from Saul Ross, President, Ontario Confederation of University Faculty Associations, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 22, 1993.
23. Letter from Liz Barkley, President, OSSTF, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 19, 1993.

distribution of the AQ associated funding cut proportional to each institutions share of base grants.²⁴

York University, also in support of across-the-board reductions in its submission to Council, cited The Ontario Operating Funds Distribution Manual:

...the distribution mechanism is not intended to limit or control the expenditure of funds granted to the universities, except in the case of specifically-targeted envelopes such as research overheads, faculty renewal, and other special purpose grants allocated for grants-in-aid and other such activities. The non-targeted university operating grants may be applied to any eligible university operating expenditure.²⁵

York University argued, then, that the assumption that funding can be ascribed to a particular program runs counter to the foundations of the operating grants system,²⁶ and noted in its submission that while "The government is, of course, in a position to change the mechanism for funding universities.", that "...the withdrawal of funding for AQs has been introduced within the context of the corridor system."²⁷

Queen's University argued in favour of Option 3 - the blended approach, and stated in their submission to Council following the November 6 hearing that:

...Queen's believes strongly in the existing Corridor formula system and we also believe that the current formula system is robust enough to handle the matter of the AQ funding reduction through a Strategic Corridor Reduction and through a general Corridor reduction for the non-AQ part of the funding reduction.²⁸

McMaster University in its afterthoughts to Council following the November 6 hearings stated:

Universities are private, autonomous institutions and they are provided with public funds by Government in order to achieve certain public policy objectives. One of the controls Government has retained is the right to determine what programmes should be eligible for funding. Once that decision has been made funds have flowed to universities through a formula, but, once received, universities may expend the funds as they wish provided they do not transgress some specific limitations such as the stipulation that operating grants should not be used for financial aid. One university in its submission addresses the issue of "eligibility" and quotes the formula manual; in our view, however, they have chosen to focus on eligibility to

24. Letter from Robert G. Rosehart, President, Lakehead University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 23, 1993, p. 3.

25. Grants Administration Branch, Department of Colleges and Universities, Ministry of Education and Training, The Ontario Operating Funds Distribution Manual, 1992-93 Fiscal Year, Issue Date: March 15, 1993, p. 9.

26. York University, York University Response to the OCUA Background Paper on the Removal of \$58.5 Million from Ontario Universities and the Funding Eligibility of Additional Qualification Courses, October 22, 1993, p. 3.

27. Ibid. p. 4.

28. Letter from R.D. Fraser, Vice-Principal (Resources), Queen's University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 10, 1993, p. 4.

spend the funds and have ignored the question of eligibility of programmes to generate funds.²⁹

2. Data Issues

There are information integrity and accuracy issues that lead one to question whether the level of formula funding generated by AQ course enrolments can be fairly determined and, therefore, whether institutional shares of such a cut might be equitably assigned.

Council became aware of numerous data issues related to AQ courses in developing its 1993-94 advice on the appropriate method for AQ course-specific grant removal. AQs relate to courses and not to program majors. Enrolments (FFTEs and BIUs) are reported according to program majors and not according to courses taken. There is no specific "formula program of study" (FORPOS) enrolment category for AQ courses. Therefore, the specific identification of AQ course FFTEs and BIUs prior to 1992-93 is not possible through the financial enrolment reporting mechanisms.

However, Council was not prepared to delay its 1993-94 advice for a resolution of the technical issues and it based the \$5.9 million reduction on an estimate of 1992-93 AQ courses. The estimate used for the \$5.9 million reduction in 1993-94 is based on the 1992-93 residual of total teacher education enrolments, less pre-service teacher education enrolments for full and part-time Summer term enrolments and part-time Spring, Fall and Winter enrolments.³⁰ Overall, this estimator had the best fit with the institutionally-submitted enrolment data of any of the estimators based on audited data. However, Council noted in its advice with respect to the \$5.9 million cut for 1993-94 that it:

...has not been able to consider all these issues in the short timeframe it has had to deal with the AQ funding removal. The data problems are real and should be resolved.³¹

In developing its advice for the removal of \$58.5 million, Council took into serious consideration the integrity of the information and data upon which these funds are to be removed. Council felt it must be confident that the information and data, upon which funding reductions are based, fairly reflect activity or grant generation, and therefore can be used to fairly attribute shares of the reduction.

In its efforts to consider possible procedures for the full phase-out of these funds, Council needed to consider the legitimate question that had been raised by the majority of those consulted of whether AQ courses had actually generated \$58.5 million in grants. In order to consider this question, Council developed a methodology to determine how historical changes in enrolments have contributed to the fixed shares of funding upon which institutional Formula Grant income is derived. Under the existing system, all institutions are funded according to shares of Basic Operating Income (BOI), and funding is not program-specific but BIU-related. The shares which were set in 1986-87 were based on historic enrolment levels going back as far as 1974-75, incorporating the discounting for enrolment change which was in the formula at that time.

29. Letter from A.L. Darling, Vice-President (Administration), McMaster University, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 8, 1993, p. 1.

30. Formula program of study, FORPOS codes 139, 141, 142 and 143.

31. Ontario Council on University Affairs, Advisory Memorandum, 93-IV, Modification to Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94, in Light of Government's Expenditure Control Plan Announced by the Minister of Finance, April 1993, p. 6.

Council requested that institutions provide AQ course FFTE and BIU data for the period of 1974-75 to 1993-94. Council recognized that a new regime of teacher certification was instituted by the Ministry in 1979-80, and that AQ courses formally commenced their existence in that year. Nevertheless, Council was also aware that AQ courses had a historical precursor in the form of Additional Certificates that were financed through the formula for some institutions and asked for data back to 1974-75.

Council also requested historical University Audit Report (UAR) data from the Ministry of Education and Training. The Ministry was able to provide total part-time education enrolments in FORPOS 139, 141, 142 and 143, and Summer term full-time enrolments for these program codes for the period commencing in 1979-80. The Ministry was unable to provide historic data prior to 1979-80.³²

An additional source of information that Council also explored was the teacher record card information maintained by the Ministry of Education and Training (MET). Annually, Deans of Faculties of Education identify and recommend to MET, for inclusion on teacher record cards, AQ courses completed by the individual in-service teacher who has successfully completed the course at their institution in that year. Council was provided with AQ course completion data by each Faculty of Education for the period commencing Fall/Winter 1979-80 to Summer 1993.³³ For the period prior to Fall/Winter 1979-80, only system-level data were available. Council is aware that, because AQ courses recommended by Deans of Education represent only courses completed, AQ course activity might therefore be understated. However, indications are that the number of incomplete AQ courses are not significant. Further, some courses which are AQ course equivalents represent enrolments in courses not designed as AQ. They meet Ministry AQ curricular guidelines and can consequently be included on the teacher record card as equivalent.

In response to Council's request to the institutions for the historical information, a number of institutions were not able to state with certainty when formula funding for AQ courses commenced at their institution. However, some were able to state with certainty the beginning of formula funding for AQ courses at their institution, and were able to provide the data requested from that date. Others encountered problems associated with different storage formats, staff turnover and were therefore unable to retrieve all of the historical information. The majority were not able to confirm that the historical information provided was an accurate representation of AQ course enrolment activity.

In examining the alternative sources of information available to it, Council found that the audited historical data significantly overstated AQ course activity at some institutions, and understated AQ course activity at others when comparisons were made to the institutional data submitted, and the AQ courses recommended for teacher record cards by Deans of Education at their institutions. This was found to be the case since the majority of AQ institutions also offer an In-Service B.Ed. degree program for teachers. In cases where institutions offer such a degree, the audited part-time enrolment data were a more accurate reflection of the total In-Service B.Ed. enrolments than of AQ course activity alone. This is because the In-Service B.Ed. degree programs are comprised of other university courses in addition to AQ courses.

When Council made comparisons between the audited part-time education enrolments and AQ courses recommended for teacher record cards by Deans, Council confirmed the assertions, by a number of institutions, that the audited enrolment data overstated their AQ course activity. In these instances, the AQ courses recommended for teacher record cards by Deans more

32. Ministry of Education and Training staff undertook a comprehensive search for the information for the 1974-75 to 1978-79 period, but were unable to locate a full-time/part-time disaggregation.

33. Council appreciates the efforts of Sherron Hibbitt, Team Leader, Teacher & Student Information Services, Ministry of Education and Training, in obtaining this information.

accurately reflected what these institutions had submitted both in response to Council's request in the Spring of 1993 and again in November, 1993, for these data.

In summary, when Council used the two estimators of AQ courses in its model to calculate the historical funding generated by AQ activity, it found wide variations, both on an aggregate and institutional basis. Depending on the estimator used, the system funding ranged from \$32.8 million to \$47.3 million. Furthermore, on an institutional basis, the variations between the reductions generated based on the alternate underlying datasets were significant.

Appendix Table A-1

FFTEs of Additional Qualification Courses Completed and Recommended by Deans of Education to the Ministry of Education and Training for In-Service Teacher Record Cards (Converted to FFTEs by Dividing AQs Recorded by 5)				
	<u>1989-90</u>	<u>1990-91</u>	<u>1991-92</u>	<u>1992-93</u>
Brock	404	899	463	322
Carleton				
Guelph				
Lakehead	92	119	156	83
Laurentian	120	167	116	124
Algoma				
Laurentian(Algoma)				
Hearst				
McMaster				
Nipissing	170	364	289	200
Ottawa	440	434	497	510
Queen's	221	278	268	185
Ryerson				
Toronto	998	903	924	845
Trent				
Waterloo				
Western	586	626	674	659
Wilfrid Laurier				
Windsor	122	129	95	179
York	2,264	2,033	1,510	1,781
OISE				
OCA				
Dominican				
Total	5,407	5,952	4,993	4,889

Note: 1. FFTEs are Fiscal Full-time Equivalent Enrolments.
Source: Teacher and Student Information Services, Ministry of Education and Training.

93-IX Graduate Program Funding 1994-95

1.0 Introduction

In this Memorandum, the Ontario Council on University Affairs continues the practice of submitting annual advice on the funding eligibility of new and existing graduate programs as initiated in Advisory Memorandum 83-VIII.

The graduate program funding approval process was developed to achieve Council's objectives for the graduate enterprise in Ontario¹ and to achieve Council's system-wide goals of institutional role differentiation and system rationalization. Council bases its annual funding advice for new programs on the four criteria contained in Advisory Memorandum 89-V² and the information points noted in Advisory Memorandum 92-V.³ Briefly, each program must have passed a rigorous academic appraisal, as certified by the Council of Ontario Universities, without requiring any improvement; the university must demonstrate a societal need and student demand for the program; the program must be consistent with the aims, objectives and existing strengths of the institution offering it and be included in the institution's five-year graduate plan; and Council must deem the program to be an appropriate development within the Ontario university system.

With respect to Bilingual and French-language programs, Council also has the benefit of advice from the Advisory Committee on Francophone Affairs (ACFA) regarding the extent to which programs proposed for funding eligibility meet the needs of the Francophone community in Ontario.⁴ No Bilingual or French-language programs were submitted during this cycle of program approvals.

With respect to existing programs, Council relies upon the Council of Ontario Universities' identification of programs of good quality, through the periodic appraisal process conducted by the Ontario Council on Graduate Studies. Council will recommend that funding eligibility be withdrawn from any programs identified to be of unacceptable quality through this process.

Council continues the practice of recommending a weight for each graduate level-one program. All graduate level-two programs, as outlined in The Ontario Operating Funds Distribution Manual, will be in Category 8 with a weight of 6, or 2 per term.

2.0 Graduate Programs Considered for Funding Eligibility

Council has reviewed the advice of the Academic Advisory Committee regarding the funding eligibility of the following six graduate programs:

Carleton University

Doctor of Philosophy in Public Policy (PhD) - See Appendix A

1. See Ontario Council on University Affairs, Sixteenth Annual Report, "Advisory Memorandum 89-V: Graduate Program Planning and Funding in the Third Quinquennium, 1989-90 to 1993-94", p. 157.

2. Ibid., pp. 161-162.

3. See Ontario Council on University Affairs, Advisory Memorandum 92-V: Program Approvals, June 19, 1992.

4. See Advisory Committee on Francophone Affairs, Mémoire consultatif 92.5, August 11, 1992.

Queen's University

Master of Science in Nursing (MSc) - See Appendix B

University of Toronto

Master of Nursing (MN) - See Appendix C

Master of Occupational Hygiene (MOHyg) - See Appendix D

University of Waterloo

Master of Environmental Studies in Environment and
Resource Studies (MES) - See Appendix E

University of Windsor

Master of Science in Nursing (MScN) - See Appendix F

3.0 Recommendations

The evidence, provided in the appended reports of the Academic Advisory Committee, satisfies Council that each program recommended for approval met the requirements of an academic appraisal conducted by the Ontario Council on Graduate Studies; at the time of appraisal, did not require improvements; has exhibited convincing evidence of societal need and student demand; has demonstrated consistency with the aims, objectives and existing strengths of the institution in which it has been proposed; and has been included in the institutional five-year graduate plan registered annually with the Council.

Council itself reviewed each program recommended for funding by the Academic Advisory Committee against the requirements of the fourth criterion: "That the program is deemed by Council to be an appropriate development within the Ontario university system".⁵ In doing so, Council assessed the programs proposed for funding eligibility against broader policies, including funding policies and other initiatives pertaining to the university system. Institutions must indicate the impact that the program proposed for funding eligibility will have on its corridor plan, and how the program will be financed and staffed. Additional costs must be identified, as well as the manner in which these costs will be covered. The impact on other programs within the institution must be noted, and cost savings, if any, must be identified.⁶

Council has satisfied itself that each of the programs recommended by the Academic Advisory Committee represents an appropriate development within the Ontario university system.

Accordingly, Council *recommends to the Minister:*

OCUA 93-64

ELIGIBILITY OF ENROLMENT IN THE DOCTOR OF PHILOSOPHY PROGRAM
IN PUBLIC POLICY AT CARLETON UNIVERSITY FOR FUNDING PURPOSES
IN 1994-95

5. Ontario Council on University Affairs, Program Procedures Manual, 92 08 14, p. 2.1.1.

6. Ibid., pp. 2.1.4 and 2.1.5.

THAT enrolment in the Doctor of Philosophy program in Public Policy at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1994-95.

OCUA 93-65

ELIGIBILITY OF ENROLMENT IN THE MASTER OF SCIENCE PROGRAM IN NURSING AT QUEEN'S UNIVERSITY FOR FUNDING PURPOSES IN 1994-95

THAT enrolment in the Master of Science program in Nursing at Queen's University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 7 with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-66

ELIGIBILITY OF ENROLMENT IN THE MASTER OF NURSING PROGRAM AT THE UNIVERSITY OF TORONTO FOR FUNDING PURPOSES IN 1994-95

THAT enrolment in the Master of Nursing program at the University of Toronto be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 7 with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-67

ELIGIBILITY OF ENROLMENT IN THE MASTER OF OCCUPATIONAL HYGIENE PROGRAM AT THE UNIVERSITY OF TORONTO FOR FUNDING PURPOSES IN 1994-95

THAT enrolment in the Master of Occupational Hygiene program at the University of Toronto be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 7 with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-68

ELIGIBILITY OF ENROLMENT IN THE MASTER OF ENVIRONMENTAL STUDIES PROGRAM IN ENVIRONMENT AND RESOURCE STUDIES AT THE UNIVERSITY OF WATERLOO FOR FUNDING PURPOSES IN 1994-95

THAT enrolment in the Master of Environmental Studies program in Environment and Resource Studies at the University of Waterloo be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 7 with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-69

ELIGIBILITY OF ENROLMENT IN THE MASTER OF SCIENCE PROGRAM IN NURSING AT THE UNIVERSITY OF WINDSOR FOR FUNDING PURPOSES IN 1994-95

THAT enrolment in the Master of Science program in Nursing at the University of Windsor be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 7 with a weight of 4 or 1.333 per term, as outlined in The Ontario Operating Funds Distribution Manual.

4.0 Existing Graduate Programs

Council has reviewed the Council of Ontario Universities/Ontario Council on Graduate Studies annual Report to the Ontario Council on University Affairs on Appraisal Results: 1992-93. In cases where the Ontario Council on Graduate Studies identifies programs which are not of acceptable quality, the program is classified as "not approved" and the university ceases to admit students to the program. In such cases, Council makes specific recommendations to the Minister that the funding eligibility for such programs be withdrawn. This year's report indicates that no programs were placed in the NOT APPROVED category as a result of the quality appraisal process in 1992-93.

Joy Cohnstaedt,
Chair

February 11, 1994

Appendix A

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Public Policy (PhD)

Carleton University

New Graduate Program
Considered for Funding Eligibility

On July 28, 1993, Carleton University requested that Council consider its new Doctor of Philosophy (PhD) program in Public Policy for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on November 15, 1993.

2. Societal Need and Student Demand

Carleton University indicates that the Doctoral program in Public Policy will produce academics and researchers who will be employed by universities, by public and private institutions and by policy research organizations.⁷ This multidisciplinary Doctoral program in Public Policy would be unique in Canada. The Academic Advisory Committee reviewed numerous attestations of the need for such program graduates from a wide range of potential employers.⁸

Student demand for the program has been substantial. Three students were admitted to the program in the Fall of 1992. An additional five students were admitted in 1993. The projected steady-state admission level of five students per year has, therefore, been achieved.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The PhD program in Public Policy has been included in the University's five-year graduate plan since 1989, and is consistent with Carleton University's national reputation for excellence in policy research.

The Academic Advisory Committee notes that the program is offered within an interdisciplinary School of Public Administration wherein a diploma in Public Administration and a Master of Arts degree in Public Administration are already offered. The Committee notes that this provides a particularly supportive infrastructure for such a multidisciplinary Doctoral program in Public Policy. Corollary program strengths exist in the Department of Political

7. Carleton University, OCUA Funding Application: Doctoral Program in Public Policy, July 28, 1993, p. 2.

8. Ibid., Appendix E.

Science where five fields of study are offered at the MA and PhD level, including General Public Administration and Policy Analysis in Economics to the Doctoral level (offered jointly with the University of Ottawa) and in a new MA program in Political Economy.

The Academic Advisory Committee is satisfied that the proposed PhD program in Public Policy is consistent with the aims, objectives and existing strengths of Carleton University.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Doctor of Philosophy program in Public Policy at Carleton University be recommended by Council for funding eligibility.

Academic Advisory Committee
December 13, 1993

Appendix B

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Nursing (MSc)
Queen's University

New Graduate Program
Considered for Funding Eligibility

On July 13, 1993, Queen's University requested that Council consider its new Master of Science (MSc) program in Nursing for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on May 21, 1993.

2. Societal Need and Student Demand

Queen's University indicates that nursing research will be the focus of its MSc program in Nursing. The program is designed to advance knowledge and develop research expertise in the nursing practice fields of Women's and Children's Health, and Health and Chronic Illness.⁹ The University states:

For nursing to develop its knowledge base in health promotion, health maintenance, illness care and nursing systems, scientists are needed...The Queen's master's of science program will contribute to the small but growing number of academically well prepared nurses needed to develop the scientific base of the profession. The program will also provide a stepping stone for the professoriate of the future.¹⁰

The Academic Advisory Committee reviewed an extensive array of letters expressing a significant societal need for program graduates from sources including professional nursing associations, students, and potential employers including hospitals, research centres and other universities. Further, the Ministry of Health has reviewed the program and indicated support for it.¹¹

9. Queen's University, Request for Formula Funding Eligibility: Master's of Science Program in Nursing, School of Nursing, Queen's University at Kingston, July, 1993, p. 2.

10. Ibid.

11. Memorandum from Linda Tennant, Manager, Health Human Resources Policy Unit, Ministry of Health, to Elaine Hykawy, Manager Health Sciences Unit, Ministry of Education and Training, October 13, 1993.

Student demand is expected to originate with graduates of Baccalaureate programs in Nursing, employed nurses seeking career advancement, and faculty members within Nursing programs who currently hold only a Baccalaureate degree in Nursing. An enrolment level of six full-time students is projected for each year of the two-year program. The University indicated that part-time students would be accommodated whenever possible. The projected steady-state total enrolment is 12 full-time and 10 part-time students by 1996.

The program differs from other programs offered by The University of Western Ontario, the Universities of Ottawa and Windsor, in that it is primarily focused on research and the theoretical base of the nursing discipline. The University of Toronto indicates that there may be some overlap with its MSc program in Nursing but notes that

...more than two-thirds of the students [who applied to the University of Toronto] were not able to gain access to our program. There is no question that there is a need for more master's programs that concentrate on clinical nursing issues. Given that most nurses are women with attendant family responsibilities, opportunities to relocate or to commute are limited for them. Therefore it is imperative that nurses in the Kingston area have access to a program close to where they live...Kingston has too few nurses prepared at the graduate level given its sophisticated health care environment. A graduate program in nursing science at Queen's is absolutely essential.¹²

The Academic Advisory Committee is satisfied that any duplication of the research orientation of this program within other graduate programs in Nursing in Ontario is justifiable, based on the importance of part-time and full-time student access and due to the societal need for program graduates.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The MSc program in Nursing at Queen's University has been included in the University's five-year graduate plan since 1992, and has been a planning priority for the School of Nursing since 1985. Collateral strengths and academic linkages exist between the program and the Department of Pediatrics; School of Rehabilitation Therapy; Departments of Psychology, Obstetrics and Gynecology; the Faculty of Medicine; Kingston General Hospital; Hotel Dieu Hospital; Kingston Psychiatric Hospital; St. Mary's of the Lake Hospital; Kingston Regional Cancer Clinic, Long Term Care; and Ottawa Civic Hospital. The School of Nursing also has numerous collaborative research initiatives ongoing with local and regional hospitals, health units and other research units, including those in universities. A variety of facilities are available to students for clinical research.

The Academic Advisory Committee is satisfied that the proposed Master of Science program in Nursing is consistent with the aims, objectives and existing strengths of Queen's University.

12. Letter from Dean Dorothy Pringle, Faculty of Nursing, University of Toronto, to Dean Rita Maloney, School of Nursing, Queen's University, May 31, 1993.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Science program in Nursing at Queen's University be recommended by Council for funding eligibility.

Academic Advisory Committee

December 13, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Nursing (MN)

University of Toronto

New Graduate Program

Considered for Funding Eligibility

On August 19, 1993, the University of Toronto requested that Council consider its new Master of Nursing (MN) program for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on April 4, 1993.

2. Societal Need and Student Demand

The Master of Nursing program at the University of Toronto affords students the opportunity to obtain an advanced degree in Nursing specializing in Clinical Nursing Practice or Nursing Administration without a thesis requirement. The need for graduates of such a program exists, in both hospital and community settings, where leadership is required in Clinical Nursing Practice and in Nursing Administration. Contributing to this need are factors such as changing demographics and economic constraints resulting in greater leadership and decision-making roles for nurses within the Ontario health care system. Letters attesting to the need for the program were provided by local and regional hospitals, private nursing organizations, public health departments and nursing associations.¹³ The program was also reviewed and supported by the Ministry of Health.¹⁴

The Academic Advisory Committee notes that many Canadian nurses currently study in the United States for this degree. Study may be undertaken on a full-time or part-time basis. Enrolment is expected to begin in September of 1994 with 30 to 35 students enrolled. The projected steady-state enrolment of 64 full-time equivalent students is to be achieved in 1996. The University notes that a number of students currently enrolled in the MSc Nursing program intend to transfer to the MN program as they prefer to study on a part-time basis. Demand is expected to come from students preferring part-time study and nurses wishing to focus on the application of research to practise.

13. University of Toronto, Submission to the Advisory Committee of the Ontario Council of University Affairs for Funding Approval for the M.N. Program in the Faculty of Nursing, University of Toronto, August 19, 1993, Appendix 3, "Letters of Support".

14. Memorandum from Linda Tennant, Manager, Health Human Resources Policy Unit, Ministry of Health, to Elaine Hykawy, Manager Health Sciences Unit, Ministry of Education and Training, October 13, 1993.

Although the Committee notes some overlap in course content with the MSc program at the University of Ottawa, the Committee believes that the societal need and student demand are so significant that any overlap is justifiable.

The Academic Advisory Committee notes that in many "professional" Master's programs, where a thesis is not required, the degree granted is considered a "terminal" degree in that it does not qualify the graduate for direct entry into a Doctoral program in the same field. In view of the importance of applied research in the field of Nursing, the Committee would like to encourage universities to consider a mechanism by which graduates of professional Master's degrees could enter Doctoral programs.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The MN program has been included in the University of Toronto's five-year graduate plan since 1993. The program is an integral part of a nursing program strategy at the University which involves existing MSc and PhD programs.

Academic linkages benefitting the program include links with the Faculty of Management, Department of Health Administration, Centre for Studies of Aging, Centre for Research in Health Administration and the Institute for Clinical Evaluation Sciences at Sunnybrook.

The Academic Advisory Committee is satisfied that the proposed MN program is consistent with the aims, objectives and existing strengths of the University of Toronto.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Nursing program at the University of Toronto be recommended by Council for funding eligibility.

Academic Advisory Committee

December 13, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Occupational Hygiene (MOHyg)
University of Toronto

New Graduate Program
Considered for Funding Eligibility

On August 19, 1993, the University of Toronto requested that Council consider its new Master of Occupational Hygiene (MOHyg) program for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on May 21, 1993.

2. Societal Need and Student Demand

The Master of Occupational Hygiene program offered by the University of Toronto will prepare graduates who can identify and assess potential health risks caused by chemicals and physical agents posed by the occupational environment. The program replaces two existing programs - one in Industrial Hygiene offered by the Department of Chemical Engineering and Applied Chemistry within the Faculty of Applied Science and Engineering (MEng[Hygiene]), and the other in Occupational Hygiene offered by the Division of Community Health within the Faculty of Medicine (MHSc[Hygiene]). A diploma in Industrial Health (Hygiene) is also offered. Graduates are needed by employers in government and industry, and the need is nationwide and long-term due to the increasing importance placed on health and safety by communities, employers and government agencies across the country. The societal need for program graduates was attested to by representatives of industry, government, the Occupational Hygiene Association of Ontario and the Canadian Registration Board of Occupational Hygienists.¹⁵

The program was also reviewed by the Ministry of Health which indicated its support for the program in that it "could provide a multidisciplinary dimension helpful in identifying and assessing potential health risks posed by the occupational environment".¹⁶

Student demand for the program is expected to be long-term and will mirror existing demand for the three hygiene-related programs previously offered. As a result, demand will originate with graduates of Baccalaureate level programs in Physical, Life or Engineering Sciences from the University of Toronto and other undergraduate programs in Canada. Some

15. University of Toronto, Submission to the Advisory Committee of the Ontario Council on University Affairs for Funding Approval for the Master of Occupational Hygiene, University of Toronto, August 19, 1993, Appendix 3.

16. Memorandum from Linda Tennant, Manager, Health Human Resources Policy Unit, Ministry of Health, to Elaine Hykawy, Manager Health Sciences Unit, Ministry of Education and Training, October 13, 1993.

students may have relevant work experience in Occupational Health and Safety. Enrolment in the 16-month long program is projected to reach a steady-state of 16 full-time equivalents within two years, although it may take somewhat longer should a large percentage of enrolments be of a part-time nature. Seventeen full-time and 42 part-time students were enrolled in the program as of September of 1993. The Committee notes that students were involved in every stage of the planning and development of the new program.

The program is unique in Ontario. A graduate diploma in Occupational Health offered by McMaster University is the only similar offering in the system. However, the Committee has verified that offerings at McMaster University differ from offerings at the University of Toronto, as McMaster University offers a three-month graduate diploma program which is designed to meet the needs of employed occupational health practitioners seeking professional upgrading,¹⁷ while the University of Toronto offers a 16-month degree program. Both programs can be taken on a full or part-time basis.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The MOHyg program has been included in the five-year graduate plan of the University of Toronto since 1993. The Committee notes that it rationalizes two existing programs into one and that the University has had expertise in this area since 1978. The faculty, library and laboratory resources for the program are already in place.

The Academic Advisory Committee is satisfied that the proposed Master of Occupational Hygiene program is consistent with the aims, objectives and existing strengths of University of Toronto.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Occupational Hygiene program at the University of Toronto be recommended by Council for funding eligibility.

Academic Advisory Committee
December 13, 1993

17. Telephone conversation with Dr. D.C.F. Muir, Director, Occupational Health Program, Professor of Medicine, Health Sciences Centre, McMaster University, January 26, 1994.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Environment and Resource Studies (MES)

University of Waterloo

New Graduate Program
Considered for Funding Eligibility

On July 26, 1993, the University of Waterloo requested that Council consider its new Master of Environmental Studies program (MES) in Environment and Resource Studies for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on November 23, 1990.

2. Societal Need and Student Demand

The University of Waterloo states that the purpose of the MES program in Environment and Resource Studies is

to provide students with the varying mix of generalist, specialist, and other qualifications required for effective involvement in environmental issues analyses and problem-solving...The general aim...is to assist students to further develop skills that are widely applicable in practice, combined with requisite sensitivity to the organizational processes needed to apply such skills effectively within a diverse array of problem-solving situations.¹⁸

Enrolment is normally limited to individuals who have some work experience as environmental practitioners in business, government or industry. To date, 22 students have enrolled in the program since 1991. The projected steady-state total enrolment of 20 students has been achieved through the admission of 10 new students per year. Demand for the program is extensive. There were 84 applicants in 1993 alone.

The societal need for graduates of the Environment and Resource Studies program was substantiated by letters from potential employers, environmental associations, government departments, other faculties of environmental studies, as well as a variety of newspaper articles.¹⁹

18. University of Waterloo, "Funding Submission to the Ontario Council on University Affairs for the Masters of Applied Environmental Studies, Department of Environment and Resource Studies, University of Waterloo, July 26, 1993, pp. 1-2.

19. *Ibid.*, Appendix 6.

The Committee is satisfied that the focus of this program is significantly different from that of existing environmental studies programs at York University and the University of Toronto. This view was substantiated by letters from the Institute for Environmental Studies at the University of Toronto and from the Faculty of Environmental Studies at York University.²⁰

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The program has been a component of the University's five-year graduate plan since 1989.

The Academic Advisory Committee notes that the program is offered through the Department of Environment and Resource Studies in the Faculty of Environmental Studies - a centre of particular academic strength at the University of Waterloo. Collateral academic strength exists at the undergraduate level (Honours Bachelor of Environmental Studies program) and through to the graduate level within the School of Architecture, Department of Geography, School of Urban and Regional Planning, Department of Biology and the Department of Systems Design Engineering. The program will also benefit from the University's Earth Observations Laboratory, Heritage Resources Centre and Wetlands Research Centre. Special facilities of the University include a map and design library, ecology laboratory, ecological reserves at Baden and Rockwood Gorge, a cartographic centre, environmental media information centre and graphics laboratory.

The Academic Advisory Committee is satisfied that the proposed MES program in Environment and Resource Studies is consistent with the aims, objectives and existing strengths of the University of Waterloo.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Environmental Studies program in Environment and Resource Studies at the University of Waterloo be recommended by Council for funding eligibility.

Academic Advisory Committee

December 13, 1993

20. Ibid., Appendix 8.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Nursing (MScN)
University of Windsor

New Graduate Program
Considered for Funding Eligibility

On July 29, 1993, the University of Windsor requested that Council consider its new Master of Science (MScN) program in Nursing for funding eligibility. Council, according to established procedures, referred the program to its Academic Advisory Committee. The Committee's findings, resulting from the application of Council's criteria for funding eligibility, are summarized below.

1. Academic Appraisal

The Council of Ontario Universities has certified that this program underwent a rigorous academic appraisal which was conducted by the Ontario Council on Graduate Studies (OCGS) and, at the time of appraisal, the program did not require any improvements. The program was approved to commence on June 18, 1993.

2. Societal Need and Student Demand

This program is especially designed to meet the needs of employed Baccalaureate-prepared nurses seeking advanced preparation in two areas: human response and adaptation to changes in the health of individuals, families and groups with respect to acute and chronic illness; and health promotion and illness prevention in selected populations. The program is offered on a part-time basis with one term in the second year which is full-time.²¹ There is a thesis and non-thesis stream within the program.

This program will address the lack of nurses prepared beyond the Baccalaureate level which is one of the critical problems experienced by the nursing discipline in the 1990s. The need for the program and its graduates was attested to by professional nursing organizations,²² student organizations,²³ clinical agencies,²⁴ the Windsor campus community²⁵ and other universities.²⁶ The program was also reviewed and supported by the Ministry of Health.²⁷

21. University of Windsor, "Master of Science in Nursing: Report for OCUA", July, 1993, p. 23.

22. *Ibid.*, Appendix E: "Letters of Support from National and Provincial Nursing Organizations".

23. *Ibid.*, Appendix A: "Letters of Support from Student Organizations".

24. *Ibid.*, Appendix B: "Letters of Support from Clinical Agencies".

25. *Ibid.*, Appendix D: "Letters of Support from Windsor - Campus Community".

26. *Ibid.*, Appendix C: "Letters of Support from Universities".

Although the Academic Advisory Committee noted some overlap with Nursing programs at the Universities of Toronto and Ottawa, the Committee was convinced that any overlap was justifiable in view of the overwhelming need for regional access to part-time study for employed nurses seeking advanced qualifications, and in view of the evidence of societal need for program graduates.

The University of Windsor indicates that a steady-state total enrolment of 30 students is projected to be achieved in the year 2000. A total of ten students will be admitted every second year beginning in 1994, and after 1997 ten students will be admitted annually.²⁸

Student demand will come primarily from registered nurses employed and living in and around the Windsor area.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for this program.

3. Consistency with Aims, Objectives and Existing Strengths

The MSc program in Nursing has been included in the five-year graduate plan of the University of Windsor since 1989. It has also been part of the University's academic plan since that time.

The MSc program in Nursing is offered through the School of Nursing within the Faculty of Science. The University of Windsor currently offers an Honours degree (BScN) in Nursing and the School of Nursing was awarded National Accreditation Status by the Board of Accreditation of the Canadian Association of University Schools of Nursing. Students will have access to health care facilities in Windsor and in Detroit, Michigan, for the purpose of clinical teaching and research. The necessary faculty, library, computing and laboratory resources necessary to support the program are in place.

The Academic Advisory Committee is satisfied that the proposed MSN program in Nursing is consistent with the aims, objectives and existing strengths of the University of Windsor.

4. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Master of Science program in Nursing at the University of Windsor be recommended by Council for funding eligibility.

Academic Advisory Committee
December 13, 1993

27. Memorandum from Linda Tennant, Manager, Health Human Resources Policy Unit, Ministry of Health, to Elaine Hykawy, Manager Health Sciences Unit, Ministry of Education and Training, October 13, 1993.

28. The University of Windsor, Op.cit., p. 27.

93-X Undergraduate Quasi-Professional, Special and Professional Program Funding 1994-95

1.0 Introduction

In this Memorandum, the Ontario Council on University Affairs recommends on the funding eligibility of 11 new undergraduate programs in accordance with the procedures for full review set out in Advisory Memorandum 82-VII, "Undergraduate Program Approvals" and Advisory Memorandum 92-V, "Program Approvals" and the procedures for cursory review set out in Advisory Memorandum 89-I, "New Undergraduate Quasi-Professional, Special and Professional Program Funding".

The following programs were considered by the Academic Advisory Committee for funding eligibility during the 1993-94 cycle of undergraduate program approvals:

Brock University

Linguistics (Hons. BA), **Cursory Review** - See Appendix A

Carleton University

Linguistics & Applied Language Studies (Hons. BA), **Cursory Review** - See Appendix B

Teaching English as a Second Language (Hons. BA), **Cursory Review** - See Appendix C

University of Guelph

European Studies (Hons. BA) - See Appendix D

University of Waterloo

Environmental Chemistry (Hons. BSc) - See Appendix E

Environmental Engineering (BAsC) - See Appendix F

University of Western Ontario

Kinesiology (Hons. BSc) - See Appendix G

York University

Conservation & Environmental Studies (BA and Hons. BA), **Cursory Review** - See Appendix H

Cultural, Critical and Historical Studies in Fine Arts (Hons. BA), **Cursory Review** - See Appendix I

Environmental Science (Hons. BSc) - See Appendix J

Hispanic Studies (BA), **Cursory Review** - See Appendix K

2.0 Recommendations

Council has considered the advice of the Academic Advisory Committee and is convinced that all 11 proposed undergraduate programs should be recommended to the Minister for funding eligibility, even in a time of economic restraint.

Council reviewed the five undergraduate programs undergoing full review, recommended by the Academic Advisory Committee, against the requirements of the tenth criterion: "[w]hether the program should be funded even in a time of economic restraint".¹ In doing so, Council assessed the undergraduate programs proposed for funding eligibility from a system-wide perspective and in light of the funding climate. Specifically, institutions were asked to indicate the impact of the proposed program on their corridor plan and how they intended to finance and staff the proposed program. Additional costs were to be identified, as well as the manner in which these costs would be covered. Finally, the impact on other programs within the

1. Ontario Council on University Affairs, OCUA Program Procedures Manual, March 2, 1993, p. 1.2.4.

institution was to be noted. Council has satisfied itself that these five programs should be recommended as eligible for funding, even in a time of economic restraint.

Council reviewed the remaining six undergraduate programs, undergoing cursory review by the Academic Advisory Committee, and is satisfied that these programs should also be recommended for funding eligibility.

Council notes a significant reduction in the number of undergraduate programs submitted to Council for funding eligibility review. Specifically, the number of undergraduate programs submitted in this cycle is approximately half the number submitted in the 1992-93 and 1991-92 cycles.

With respect to any disciplinary trends which should be noted from this cycle of program reviews, first, Council notes the continuing development of a large number of "Environmental" programs at the undergraduate level. In this cycle, four "Environmental" programs were submitted for review including Environmental Chemistry and Environmental Engineering from the University of Waterloo, as well as Conservative and Environmental Studies, and Environmental Science from York University. Council notes the development of a number of "Environmental" programs in the system over the past five years. Council wishes to indicate to the Minister that the Academic Advisory Committee is currently examining further the proliferation of "Environmental" programs through its review of this interdisciplinary area. Council will review AAC's findings and consider its recommendations upon completion of the Committee's discussion paper.

Second, a number of programs included in this cycle of reviews are programs in the area of Languages and Applied Linguistics. Council notes that these programs have been developed by institutions in response to particular changes in current society. Specifically, Canada's recent immigration patterns have created an increased demand for individuals with skills in areas of Applied Linguistics, including Teaching English as a Second Language. As well, the world-wide trend toward globalization has created a need for university graduates with broader foreign language capabilities and appreciation of diverse cultures. The following programs are consistent with these recent societal developments: Linguistics, Brock University; Linguistics and Applied Language Studies, and Teaching English as a Second Language, Carleton University; European Studies, University of Guelph; and Hispanic Studies, York University.

Accordingly, Council *recommends to the Minister:*

OCUA 93-70

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN LINGUISTICS AT BROCK UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BA program in Linguistics at Brock University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-71

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN LINGUISTICS AND APPLIED LANGUAGE STUDIES AT CARLETON UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BA program in Linguistics and Applied Language Studies at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-72

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN TEACHING ENGLISH AS A SECOND LANGUAGE AT CARLETON UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BA program in Teaching English As A Second Language at Carleton University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-73

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN EUROPEAN STUDIES AT THE UNIVERSITY OF GUELPH FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BA program in European Studies at the University of Guelph be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-74

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL CHEMISTRY AT THE UNIVERSITY OF WATERLOO FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BSc program in Environmental Chemistry at the University of Waterloo be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-75

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF APPLIED SCIENCE PROGRAM IN ENVIRONMENTAL ENGINEERING AT THE UNIVERSITY OF WATERLOO FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the BASc program in Environmental Engineering at the University of Waterloo be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 3, with a program weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-76

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN KINESIOLOGY AT THE UNIVERSITY OF WESTERN ONTARIO FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BSc program in Kinesiology at The University of Western Ontario be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-77

ELIGIBILITY OF ENROLMENT IN THE GENERAL AND HONOURS BACHELOR OF ARTS PROGRAMS IN CONSERVATION & ENVIRONMENTAL STUDIES AT YORK UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the General and Honours BA programs in Conservation & Environmental Studies at York University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the Honours program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-78

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF ARTS PROGRAM IN CULTURAL, CRITICAL AND HISTORICAL STUDIES IN FINE ARTS AT YORK UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BA program in Cultural, Critical, and Historical Studies in Fine Arts at York University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 2, with a weight of 1.5, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-79

ELIGIBILITY OF ENROLMENT IN THE HONOURS BACHELOR OF SCIENCE PROGRAM IN ENVIRONMENTAL SCIENCE AT YORK UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the Honours BSc program in Environmental Science at York University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the upper years of the program to be in Category 3, with a weight of 2.0, as outlined in The Ontario Operating Funds Distribution Manual.

OCUA 93-80

ELIGIBILITY OF ENROLMENT IN THE BACHELOR OF ARTS PROGRAM IN HISPANIC STUDIES AT YORK UNIVERSITY FOR FUNDING PURPOSES FOR 1994-95

THAT, enrolment in the BA program in Hispanic Studies at York University be counted as eligible BIUs, for funding purposes, beginning in 1994-95 - the program to be in Category 1, with a weight of 1.0, as outlined in The Ontario Operating Funds Distribution Manual.

Joy Cohnstaedt,
Chair

February 11, 1994

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

Linguistics (Honours BA)

Brock University

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On July 29, 1993, Brock University submitted the new undergraduate special Honours Bachelor of Arts program in Linguistics to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

Brock University currently offers a three-year BA program in Linguistics. The proposed Honours program will provide students with the option of an additional year of study in Linguistics. Three new courses have been added in order to offer this program.

Brock University indicates that a background in Linguistics is essential for language teachers, translators, rehabilitative language instructors and a host of other language professionals. The existing three-year BA program provides graduates with the necessary theoretical background, knowledge of the structure, analysis and the history of language, as well as theories of language and acquisition, to prepare them for possible further training in specialized areas. The proposed four-year Honours program is intended to provide students with the more extensive training needed to proceed to Master's degree programs in Communicative Disorders and Linguistics.

The proposed Honours program is expected to appeal to those students who intend to proceed to graduate studies. Brock University also indicates that the proposed four-year Honours program would appeal to those students who wish to continue their studies in such professional program areas as Brock University's BEd program in Teaching English as a Second Language. Projected enrolment figures indicate that between 12 and 16 students are expected to enrol in year-four of the proposed Honours program annually.

The proposed program received Senate approval on December 18, 1991.

Comments provided by COU indicate that support exists in the Ontario university system for the proposed program.

The Academic Advisory Committee is satisfied that the request for a new Honours BA program in Linguistics, based on an existing General BA program in Linguistics at Brock University, is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Linguistics at Brock University be recommended as eligible for counting.

Academic Advisory Committee
December 13, 1993

Appendix B

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Linguistics and Applied Language Studies (Honours BA)
Carleton University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On August 9, 1993, Carleton University submitted the new undergraduate special Honours Bachelor of Arts program in Linguistics and Applied Language Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed Honours BA program in Linguistics and Applied Language Studies results from a change in the name of the existing approved Honours BA program in Theoretical Linguistics. The proposed program is one of two programs within the Department of Linguistics and Applied Language Studies which has undergone recent program changes. No new courses have been created in order to offer the program. However, two courses have been removed from the program requirements under the new program name.

Carleton University indicates that the renamed program in Linguistics and Applied Language Studies now has "the flexibility required to satisfy the broad range of interests found in the majority of [their] current students."¹ Students, who enrol in this program have the choice of a theoretical option as well as a more applied selection of courses without being required to take advanced Phonology or advanced Grammar.

The University indicates that the renaming of the proposed program is an attempt by the Department of Linguistics and Applied Language Studies to remove the distinction between the theoretic and applied elements of Linguistics and Language Studies.

The proposed program received Senate approval on January 22, 1993.

Comments provided by COU indicate that support exists in the Ontario university system for the proposed change in program name.

The Academic Advisory Committee is satisfied that the program primarily involves a repackaging of existing courses, and that Carleton University's request for funding eligibility is reasonable and justifiable.

1. Carleton University, Submission to OCUA for Funding Eligibility Review: Linguistics and Applied Language Studies, p. 1.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Linguistics and Applied Language Studies at Carleton University be recommended as eligible for counting.

Academic Advisory Committee

December 13, 1993

Appendix C

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Teaching English As A Second Language (Honours BA)
Carleton University**

**New Undergraduate Special Program
Considered for Funding Eligibility
(Cursory Review)**

On August 9, 1993, Carleton University submitted the new undergraduate special Honours Bachelor of Arts program in Teaching English as a Second Language to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings with respect to the program are summarized below.

The proposed Honours BA program in Teaching English as a Second Language results from a change in the name of an existing approved Honours BA program in Applied Linguistics. The proposed program is one of two Honours programs within the Department of Linguistics and Applied Language Studies which have undergone recent program changes. No new courses have been created in order to offer the program. However, Carleton University indicates that the proposed program requirements have been made more specific. Under the new program name, one course (Analysis and Discourse) has been removed from the program requirements and one course (ESL Literacy) has been added to the program requirements.

The proposed program in Teaching English as a Second Language is designed for students "intending to specialize in teaching English as a foreign language and other matters related to foreign language study in general".¹ The University indicates that a large number of students enrolled in the program are also interested in Linguistics as it relates to areas outside English as a Second Language, such as Primary and Secondary Education, Speech Pathology, Bilingualism, the Teaching of the Deaf, Literacy and Translation.

A five-credit certificate in Teaching English as a Second Language is also offered by Carleton University. The proposed program includes the same courses required for the TESL certificate.² The University argues that the renamed program will better reflect "the true nature of this program".³ The University also indicates that the renaming of the proposed program is part of an effort by the Department of Linguistics and Applied Language Studies to remove the distinction between the theoretic and applied elements of Linguistics and Language Studies.

1. Carleton University, 1993-94 Calendar, p. 210.

2. A student cannot use the same courses toward a BA degree and a certificate in TESL at the same time, nor can courses included in a BA or other degree be credited toward the certificate.

3. Carleton University, Submission to OCUA for Funding Eligibility Review: Teaching English As A Second Language, p. 1.

The proposed program received Senate approval on January 22, 1993.

Comments provided by COU indicate that support exists in the Ontario University system for the proposed change in program name.

The Academic Advisory Committee is satisfied that the program primarily involves a repackaging of existing courses, and that Carleton University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Teaching English as a Second Language at Carleton University be recommended as eligible for counting.

Academic Advisory Committee

December 13, 1993

Appendix D

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**European Studies (Honours BA)
University of Guelph**

**New Undergraduate Special Program
Considered for Funding Eligibility**

On July 27, 1993, the University of Guelph submitted the new undergraduate special Honours Bachelor of Arts program in European Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed Honours BA program in European Studies is an interdisciplinary program which combines the study of European languages, thought, letters and history, with a study and work-year abroad. Graduates of the proposed program are suited for careers in international relations, particularly international business and administration, between Canada and Europe.

The European Studies program includes four core European Studies courses, six Language core courses in one language from French, German, Spanish or Italian¹, and 16 courses in one area of emphasis from European Culture and Civilization or European Business. Seven new courses have been created in order to offer this program.

The Committee notes that while the program content is predominantly Western European in focus, it is expected that as the program evolves it will include more Eastern European content suitable to the program name.

2. Academic Quality

The program was approved by the Senate of the University of Guelph on June 15, 1993.

3. Financial Viability

The Committee notes that funds have been committed from the Office of the Vice-President, Academic, to cover the costs of course development for the seven new courses.

The University of Guelph has assured Council that it has in hand the requisite resources to introduce this program, and is prepared to maintain it as long as it remains academically and financially viable.²

1. The University indicates that, with special permission, a student may study Russian as his or her core language.

2. Letter from Dr. Mordechai Rozanski, President, University of Guelph, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, July 27, 1993.

4. Projected Enrolment

The University of Guelph indicates that it projects a year-one intake level of between 10 and 15 students for the program. The program is expected to reach a steady-state total enrolment level of between 25 and 30 students in 1998-99.

5. Co-operation with other Post-Secondary Institutions

Co-operative arrangements have been explored with a number of institutions. Although discussions between the two institutions have been of a preliminary nature, Trent University has indicated its willingness to develop an early memorandum of understanding with respect to the proposed program in European Studies.³ The University of Guelph also indicates that preliminary discussions regarding co-operative arrangements have been undertaken with the Department of Languages, Literatures and Linguistics at York University, and the School of Business and Economics and the European interest group at Wilfrid Laurier University.

In order to facilitate the study year abroad in year-three of the program, co-operative arrangements have been established with the Baden-Württemberg and Rhône-Alpes Exchanges, which include institutions in the following places: Heidelberg, Germany; Hohenheim, Germany; Konstanz, Germany; Grenoble, France; Lyon, France; Udine, Italy; and Malaga, Spain.

6. Societal Need and Student Demand

The University of Guelph argues that the societal need for graduates with international training and experience is significant. The integration of the Canadian economy into a worldwide economic system through emerging trade patterns, as well as the development of global environmental problems, requires "unprecedented levels of co-operation with people of other nations"⁴. Access to Europe demands not only traditional academic skills, but also knowledge of European languages, history and politics. As a result of these trends, individuals with such skills and overseas experience have become increasingly important. The University argues that the proposed program matches the societal need for skilled graduates by providing students with a combination of languages, culture and business knowledge. While European countries have been offering degree programs which combine these areas, the University of Guelph states that the proposed European Studies program will fill a gap in Canada's post-secondary education.

Innovative aspects of the proposed program include: courses in the administrative and business vernacular; four new interdisciplinary European Studies courses focusing on European culture, thought and historical/political development; two areas of emphasis which include a broad selection of courses from humanities, social sciences and business studies; a required study year abroad in the country of the student's language core; and a practicum (to be introduced at a later date) in Europe following the study-year abroad.

Career opportunities for graduates exist in a variety of fields. Some of these include the civil and diplomatic services, marketing, banking, teaching, retail service and tourism. Graduates are also expected to find employment with international agencies and multi-national companies.

The Committee notes that the proposed program is consistent with recommendations of the 1991 Commission of Inquiry on Canadian University Education which supports increased

3. Letter from Dr. L. W. Conolly, President Designate of Trent University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, October 26, 1993.

4. University of Guelph, Submission to OCUA for Funding Approval: Honours Major in European Studies, BA Program, p. 7.

opportunities for "year-abroad educational exchange programs" with foreign institutions emphasizing international marketing and government.⁵

Letters of support providing evidence of the societal need for graduates were received from the Consulate General of the Federal Republic of Germany, the Canadian German Chamber of Industry and Commerce, the Royal Bank of Canada, Diehl Canada Ltd. and Linamar Corporation.

Student demand for the proposed program is expected to be significant. The proposed program is expected to appeal to students with an interest in history, political studies, consumer studies, management, economics and marketing who want an international perspective and European focus to their education.

The Committee reviewed letters of support from students expressing strong interest in the proposed program. Also, the University argues that the increased student demand for introductory language courses at the University of Guelph, particularly in Spanish, is an indication of the growth in student demand for Language Studies programs such as European Studies.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

The Committee notes that other German, Italian, Spanish, French and Russian studies programs exist in Ontario universities. However, as the University of Guelph argues, no other interdisciplinary European Studies programs are offered in the Ontario universities system.

8. Local and Regional Support for the Program

The University of Guelph indicates that additional financial support will be sought from the German Academic Exchange Service for start-up funds related to program development.

Comments received from COU indicate that support exists in the Ontario university system for the proposed program.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The University indicates that the European Studies program is consistent with the University's learning objectives as outlined in Guelph's Aims and Objectives, Towards 2000 and its commitment to international programs. The University of Guelph also indicates that it offers a number of other programs, which include study abroad (London, Paris, Krakow and Moscow), and participates in a number of exchange programs (Aberdeen, Baden-Württemberg, Canberra, La Rochelle and Wageningen).

The Academic Advisory Committee is satisfied that this program is an appropriate development at the University of Guelph.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in European Studies at the University of Guelph be recommended as eligible for counting.

Academic Advisory Committee
December 13, 1993

5. Stuart L. Smith, Report: Commission of Inquiry on Canadian University Education, 1991, p. 137.

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Chemistry (Honours BSc)
University of Waterloo**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On July 26, 1993, the University of Waterloo submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Chemistry to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed new Honours BSc program in Environmental Chemistry includes a curriculum which will provide graduates with

...a thorough training in chemistry, particularly in analytical and organic chemistry, together with a strong awareness of environmental concerns and exposure to the methods of tackling environmental problems.¹

The University of Waterloo indicates that graduates of the proposed program will be equipped with the skills and knowledge necessary to determine the nature of environmental chemistry-based problems and provide the basic chemical research to determine possible solutions to them.

The proposed program has been in operation since September, 1992. Two new courses have been created in order to offer the program. The University of Waterloo indicates that a co-operative education option will also be offered to students.

2. Academic Quality

The program was approved by the Senate of the University of Waterloo on December 16, 1991.

3. Financial Viability

The University of Waterloo indicates that the proposed program, which is already being offered, has not required the provision of additional funding. The program is based primarily on existing courses from the Department of Chemistry and the Faculty of Environmental Studies.

1. University of Waterloo, Submission to OCUA for Funding Eligibility Review: Honours BSc, Environmental Chemistry, p. 4.

The University of Waterloo has assured Council that it has in hand the necessary resources to introduce the program within existing corridors, and is prepared to maintain the program for a reasonable period of time.²

4. Projected Enrolment

Five students were enrolled in the program in the 1992-93 academic year. The University of Waterloo indicates that it projects a year-one intake level of between 10 and 20 students for the program. The program is expected to reach a steady-state total enrolment level of 55 students in 1997-98.

5. Co-operation with other Post-Secondary Institutions

The University of Waterloo indicates that the proposed program has been designed so that it can be offered independent of other institutions. However, co-operation with the University of Guelph and McMaster University has been considered as a result of the recently established electronic links for course offerings among the three institutions.

6. Societal Need and Student Demand

Graduates of the proposed program will have the ability to determine the nature of environmental chemistry-based problems and provide the basic chemical research to determine possible solutions to them. The University argues that individuals with such skills are required in both the public and private sectors, at both the local and national levels, and on a long-term basis. Specific fields cited which require environmental chemists include environmental analysis, waste management and the coatings industry.

The Committee reviewed numerous letters from potential employers who had seen the curriculum and were willing to comment on the societal need for graduates in the field with the above knowledge and skills. Letters indicating a societal need for environmental chemists were received from the following: Monsanto Canada Inc.; Environmental Assessment Board; Clarke Boyce, Consultant; Safety-Kleen; Laboratory Service Branch, Ministry of the Environment; Supelco Canada Ltd; and Ontario Hydro Research Division.³

The University of Waterloo states that student demand for the program has been demonstrated through the numerous student enquiries regarding the proposed program. Currently, eight students are enrolled in the proposed program.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Environmental Chemistry programs exist at Queen's University and the University of Toronto. Other Environmental Science programs exist at Brock University, Carleton University, University of Guelph, McMaster University, Queen's University, the University of Toronto, The University of Western Ontario and York University. The University of Waterloo indicates that there are a number of minor differences between the structure of the existing programs and that being proposed. Specifically, the University argues that its proposed Environmental Chemistry program contains more required Chemistry courses, draws more heavily upon Environmental Studies courses and includes less from the areas of Geology and Geography than other such programs.

2. Letter from Dr. James Downey, President, University of Waterloo, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, July 26, 1993.

3. Letters of support for the proposed program were also received from the following: Alcan International Ltd.; The Canadian Chemical Producers Association; and Gartner Lee, Consultants in the Environment.

The Committee notes the existence of other similar programs currently operating in the Ontario university system, but concludes that duplication of existing programs in this area is justifiable given the significant societal need for graduates.

8. Local and Regional Support for the Program

The Canadian Society for Chemistry, responsible for the accreditation of university degree programs in Chemistry, has indicated its support for the proposed program.⁴

Comments received from COU indicate that support exists in the Ontario university system for the proposed program.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing program strengths and resources drawn from the faculties of Engineering, Science and Environmental Studies. The University indicates that "about 15% of the University of Waterloo's \$60 million research budget is directed towards environmental concerns".⁵ The Institute for Groundwater Research has received international recognition. It supports active environmental research projects for faculty who can, in turn, incorporate such expertise into related undergraduate courses.

The Academic Advisory Committee is satisfied that this program is an appropriate development at the University of Waterloo.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Chemistry at the University of Waterloo be recommended as eligible for counting.

Academic Advisory Committee
December 13, 1993

4. Letter from Professor Norman Hunter, Professor and Associate Head, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, February 1, 1994.

5. University of Waterloo. Op. cit., p. 4.

Appendix F

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Engineering (BSc)
University of Waterloo**

**New Undergraduate Professional Program
Considered for Funding Eligibility**

On July 26, 1993, the University of Waterloo submitted the new undergraduate professional Bachelor of Applied Science program in Environmental Engineering to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU), which in turn forwarded the program to the Committee of Ontario Deans of Engineering (CODE) for review and comment.

Council referred the program and CODE's comments to its Academic Advisory Committee, and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The University of Waterloo indicates that the proposed Environmental Engineering program has been designed through an extensive research and consultation process. The proposed four-year BSc program has two primary foci:

- the integration of environmental and ecological issues within the planning, design, operation and management of industrial and other technological processes; and,
- the minimization, treatment, remediation and risk assessment aspects of the solid, liquid and gaseous wastes that are associated with living in modern society.¹

The two branches of the program, the Chemical Engineering branch and the Civil Engineering branch, offer students a choice of three course themes: Control and Process Engineering; Waste Treatment Management; and Water and Soil Quality. The University indicates that a co-operative education option will also be offered to students.

2. Academic Quality

The program was approved by the Senate of the University on June 21, 1993.

1. University of Waterloo, Proposal to Establish a Bachelor of Applied Science Program in Environmental Engineering, p. 14.

3. Financial Viability

The University of Waterloo has assured Council that the University has in hand the necessary resources to introduce the program within existing corridors, and is prepared to maintain the program for a reasonable period of time.²

4. Projected Enrolment

The University of Waterloo indicates that it projects a year-one intake level of 30 students in the Chemical Engineering branch (Control Process Engineering theme) and 40 students in the Civil Engineering branch (Waste Treatment and Management theme and Water and Soil Quality theme). The program is expected to reach a steady-state total enrolment level of 257 students in 1997-98.

5. Co-operation with other Post-Secondary Institutions

The University of Waterloo indicates that discussions regarding the proposed program were undertaken with representatives from the University of Guelph, the University of Toronto, McMaster University, Carleton University and the Technical University of Nova Scotia. The University states that

...it is not feasible to undertake significant collaboration, at this time, with other institutions...however, electronic links with the universities of Guelph, McMaster and Toronto are actively under evaluation and testing so that, in the future, such electronic collaboration may well come to fruition. The institutions involved well recognize the potential advantages and economies of such collaboration if the experimentation currently proves successful.³

6. Societal Need and Student Demand

Environmental Engineering graduates of the proposed program will possess the skills and knowledge necessary to use science, mathematics, training in design, and the physical, chemical and political policy base established by scientists to model environmental problems, analyse various solution strategies and design appropriate solutions.⁴ The University of Waterloo asserts that the environment will be a dominant local, national and international issue through the balance of this century, and that the societal need for engineers with expertise in this area will "mushroom", with increased environmental concern and new legislation and regulations coming into effect. The University also argues that it has been projected that environmental engineering expertise may form a basis for a substantial Canadian export industry in the near future.

The University of Waterloo cited the 1992 report conducted by Ernst and Young entitled, Human Resources in the Environment Industry, which indicated that the environmental sector requires approximately 3,000 more scientists and technologists than currently exist in Canada. Moreover, according to this report, employers interviewed in the sector reinforce "the need [in Canada] for technical specialists, particularly engineers with environmental skills."⁵

2. Letter from Dr. James Downey, President, University of Waterloo, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, July 26, 1993.

3. University of Waterloo, Op. cit., p. 8.

4. Ibid., p. 9.

5. Ernst & Young, Summary Report: Human Resources in the Environment Industry, for the Steering Committee of the Environment Industry, November, 1992, p. 23.

The Committee reviewed letters from potential employers who examined the program curriculum and were willing to comment on the course content as well as the societal need for graduates in the field. The following organizations indicated their strong support for the proposed program based on the urgent and growing need for environmental engineers: Conestoga-Rover & Associates Ltd.; Fenco MacLaren Inc.; Hilton Environmental; Fuel Supply Department, Ontario Hydro; CH2M Hill Engineering Ltd.; and General Electric Energy Management Canada.

Student demand for the proposed program is expected to be very strong. The University of Waterloo indicates that the number of inquiries, regarding the proposed program, has been substantial. Currently, 140 students are enrolled in the Environmental Engineering option. The University expects to attract individuals from the pool of students who would have alternatively enrolled in Chemical and Civil Engineering.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Environmental Engineering programs exist at Carleton University, the University of Guelph and the University of Windsor. The University of Ottawa also offers Environmental Engineering options under their undergraduate Chemical and Civil Engineering programs.

The Committee notes the existence of other similar programs currently operating in the Ontario university system, but concludes that duplication of existing programs in this area is justifiable given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Comments received from CODE indicate that strong support exists for the development of this program among the other Engineering faculties in Ontario.

The Canadian Engineering Accreditation Board (CEAB) indicates its support for the proposed program with the following comment:

The proposal put forward by the University of Waterloo to mount an undergraduate Environmental Engineering program appears to be another step in the evolution of the University's engineering program offerings. The University of Waterloo has a solid history with respect to accreditation of their engineering programs by the CEAB...One would expect that, based on past performance, the University of Waterloo would offer a program in Environmental Engineering of the same calibre as their existing accredited engineering programs.⁶

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing program strengths and resources drawn from the faculties of Engineering, Science and Environmental Studies. The Departments of Civil and Chemical Engineering currently house NSERC Industrial Research Chairs in Water Treatment and Biochemical Engineering. The Institutes of Risk Research and the Wetlands Research Institute also support related research projects of faculty members.

6. Letter from Wendy Ryan-Bacon, Director, Educational Affairs, Canadian Engineering Accreditation Board, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 17, 1993.

The Academic Advisory Committee is satisfied that this program is an appropriate development at the University of Waterloo.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Applied Science program in Environmental Engineering at the University of Waterloo be recommended as eligible for counting.

Academic Advisory Committee

December 13, 1993

Appendix G

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Kinesiology (Honours BSc)
The University of Western Ontario**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On July 30, 1993, The University of Western Ontario submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Kinesiology to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed Honours BSc program has developed out of an existing Honours BA program in Kinesiology. The program has been created through the addition of more science content to the existing Honours BA program curriculum in Kinesiology. Students enrolled in the proposed program will be required to take three first-year Science courses, most of the Bioscience courses offered within the Faculty of Kinesiology, and senior level Science courses in each of the four years of the program. One and one-half new courses have been created in order to offer the program. The University has indicated that it will continue to offer the existing Honours BA program.

2. Academic Quality

The program was approved by the Senate of The University of Western Ontario on March 19, 1992. The University indicates that the proposed program structure meets the Science degree requirements established by the Senate of The University of Western Ontario.

3. Financial Viability

The University of Western Ontario has assured Council that "the University has in hand the requisite resources within the existing corridor to introduce the program and that it is the intention of the University that the BSc in Kinesiology be a permanent degree offering."¹

4. Projected Enrolment

The University of Western Ontario indicates that it projects a year-two intake level of 50 students for the program. The program is expected to reach a steady-state total enrolment level of 75-80 students in 1998-99.

1. Letter from Dr. T. J. Collins, Provost and Vice-President (Academic), to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, July 14, 1993.

5. Co-operation with other Post-Secondary Institutions

The Faculty of Kinesiology participates in a broad spectrum of co-operative activities. Faculty and student academic exchanges have been negotiated with a number of foreign institutions², and collaborative efforts in research have been undertaken with two hospitals in the London area. No co-operative arrangements have been developed with other post-secondary institutions in Ontario.

6. Societal Need and Student Demand

The University argues that the promotion of physical activity has been given increased attention as an effective way of reducing health problems through prevention and an effective way of dealing with the rising health care costs in Canada. Kinesiology graduates, who understand the science of exercise adaptation and who have also personally experienced the teaching and rigours of physical activity, are argued to be trained in dealing with the current health needs of society.³

The University of Western Ontario indicates that the bioscience thrust in the proposed Kinesiology program and the corresponding BSc degree is a natural curricular development which will better prepare students for graduate work in the bioscience area and health professions. Specifically, the University argues that the proposed Honours BSc program will help to prepare Kinesiology graduates for graduate school and careers in Kinesiology, Medicine, Applied Health Studies or Science.

The Committee reviewed letters from numerous Deans and Directors of Kinesiology faculties inside and outside Canada⁴ who reviewed the curriculum and were willing to comment on the proposed Honours BSc program and the societal need for graduates. The universities in Ontario, which indicated support for the addition of the proposed Honours BSc degree program, include Brock University, Lakehead University, Laurentian University, McMaster University, the University of Ottawa, Queen's University, the University of Toronto, Wilfrid Laurier University, the University of Windsor and York University.

The Committee also reviewed letters from a number of potential employers who supported the development of a more science-oriented program. Potential employers who indicated that the proposed BSc degree would increase the employability of graduates, particularly in the field of physiotherapy, include The Canadian Back Institute, Sarnia Lambton Workers' Treatment & Fitness Centre, University Hospital and Victoria Hospital.

Student demand for program places is expected to be strong. Since 1989-90, the number of applicants for the existing BA program places in Kinesiology has ranged between 1,150 and 1,250, for approximately 650 student places.

2. The following institutions and exchanges have been cited: Victoria University of Technology in Australia, University of Copenhagen, L'Université Libre de Bruxelles in Belgium, Beijing Institute of Physical Education in China, Ontario/Baden-Württemberg in Germany, Ontario/Rhône-Alpes in France, and Kiev Institute of Physical Culture.

3. The University of Western Ontario, Request for Funding for the Granting of a BSc Degree, Faculty of Kinesiology, p. 6.

4. Letters of support were received from the following institutions outside of Ontario: the University of Alberta, the University of Montreal, the University of California (Irvine), the University of Michigan, Pennsylvania State University, and the University of Wisconsin.

The Committee also reviewed letters from the undergraduate student organization and graduate students indicating their support for the addition of a Kinesiology program with a stronger science content.⁵

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

Undergraduate Kinesiology programs exist at eight other institutions in Ontario. The University of Western Ontario indicates that the focus of the proposed program is the Bioscience study of sport. The University argues that it is this unique thrust that distinguishes the proposed program from the other Kinesiology programs in the province. As stated by the University:

[t]his separates Western from Waterloo where movement is considered from an ergonomics perspective. Laurentian's focus is toward Biology and Child Development, while Ottawa stresses exercise rehabilitation. York has a similar program to Western's but is noted in the letter from York's Director that our program will not impact on theirs.⁶

The Committee notes the existence of other similar programs currently operating in the Ontario university system, but concludes that duplication of existing programs in this area is justifiable given the societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Letters of support were received from boards of education, elected officials and related associations in the London area.⁷

Comments received from COU indicate that support exists in the Ontario university system for the proposed program.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

The proposed program is based upon existing strengths and resources drawn from the faculties of Kinesiology and Science. The University also indicates that the proposed program will be supported by the Centre for Activity and Aging and the exercise biochemistry/muscle physiology laboratory at The University of Western Ontario.

The Academic Advisory Committee is satisfied that this program is an appropriate development at The University of Western Ontario.

5. Letter from Mr. Glenn Brand, President, and Ms. Tara Romalis, President-Elect, Kinesiology Students' Council, The University of Western Ontario, to Dr. A. W. Taylor, Dean, Faculty of Kinesiology, The University of Western Ontario, April 29, 1993. Letter from Ms. Michelle Porter, (PhD Candidate), The University of Western Ontario, to Dr. Ron Watson, Associate Dean, Faculty of Kinesiology, The University of Western Ontario, June 22, 1993. Letter from Mr. Timothy Doherty, (PhD Candidate), The University of Western Ontario, May 10, 1993.

6. The University of Western Ontario, Op. cit., p.8.

7. Letters of support were received from: The Canadian Association for Health, Physical Education and Recreation; The Board of Education for the City of London; Middlesex County Board of Education; The Corporation of the City of London; Dianne Cunningham, MPP, London-North; and Terry Clifford, MP, London-Middlesex.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Kinesiology at The University of Western Ontario be recommended as eligible for counting.

Academic Advisory Committee
December 13, 1993

Appendix H

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Conservation and Environmental Studies (General and Honours BA)
York University**

**New Undergraduate Quasi-Professional Programs
Considered for Funding Eligibility**

(Cursor Review)

On July 30, 1993, York University submitted the new undergraduate quasi-professional General and Honours Bachelor of Arts programs in Conservation and Environmental Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the programs, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the programs, are summarized below.

The proposed BA and Honours BA programs in Environmental Studies will replace the existing approved Liberal Studies option in Conservation and Environmental Studies offered by Atkinson College. Two new courses have been added in order to offer the Honours BA program.

York University indicates that the focus of the proposed programs differ from that of the previously offered Liberal Studies program. Specifically, under the Conservation and Environmental Studies programs, students could choose to focus their studies on either conservation issues or environmental studies/natural science issues. The structure of the proposed new program e is more focused and provides students with "a more balanced exposure to both conservation and environmental issues."¹ An Honours Thesis/Research Paper and a Practicum in Environmental Studies course have been added in order to offer the Honours program.

York University states that the name has been changed to reflect the increasing importance of environmental studies in society and to reflect the particular specialization of the programs.

Many graduates of the existing program, as well as students currently enrolled in the existing program, are employed in environmentally-related positions. The University indicates that part-time students view the proposed programs as a means of upgrading skills and knowledge in the environmental field. York University argues that, given the new federal Green Plan, United Nations' initiatives and increasing provincial interest in environmental matters, these programs are consistent with "the mainstream of 1990s policy and application in both public and private sectors."²

The programs are designed for part-time adult students who wish to enrol in evening courses. York University indicates that demand for the existing program has been strong and

1. York University, Submission to OCUA for Funding Eligibility Review: BA (Ordinary) and (Honours) Conservation and Environmental Studies, p. 1.

2. Ibid., p. 1.

that many enquiries have been made to Atkinson College within the past year regarding the proposed programs.

The proposed programs received Senate approval on June 24, 1993.

Comments provided by COU indicate that support exists within the Ontario university system for the proposed programs.

The Academic Advisory Committee is satisfied that the programs primarily involve a repackaging of existing courses, and that York University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the General and Honours Bachelor of Arts programs in Conservation and Environmental Studies at York University be recommended as eligible for counting.

Academic Advisory Committee
December 13, 1993

Appendix I

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Cultural, Critical and Historical Studies in Fine Arts (Honours BA)
York University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

(Cursory Review)

On July 30, 1993, York University submitted the new undergraduate quasi-professional Honours Bachelor of Arts program in Cultural, Critical and Historical Studies in Fine Arts to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

The proposed program in Cultural, Critical and Historical Studies in Fine Arts is the result of a reorganization of an existing approved program in Fine Arts Studies. The new program name represents a refocusing of program objectives to highlight current critical issues in the fine arts.¹ Three of the four core courses in the program are new. York University describes the proposed program as a

...multi-disciplinary [program], permitting studies in all of the fine arts disciplines: dance, film & video, music, visual arts and theatre. The emphasis is upon the study of cultural, critical and historical issues in the fine arts which may include a concentration of courses that focus on arts and psychology, arts and anthropology, arts and societies/European, arts and societies/non-European, and aesthetics and arts criticism.²

York University argues that there is a growing need in society for contemporary artists, critics, art administrators, fine arts educators and art therapists with a sensitivity to the multi-faceted nature of our multi-ethnic society. Increasingly, the proposed program has offered studio and performance courses with inter-cultural orientation. For example, courses in Asian arts, Indian classical dance and music, and Iroquois dance and music have become an integral part of the program offerings in recent years. York University argues that the proposed new program name will more accurately reflect the course content of the program.

1. Letter from Dr. Susan Mann, President, York University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 29, 1993.

2. York University, Submission to OCUA for Funding Eligibility Review: Honours BA, Cultural, Critical and Historical Studies in Fine Arts, p. 1.

York University argues that the interdisciplinary nature of the Cultural, Critical and Historical Studies in Fine Arts program, including courses in computer arts as well as interdisciplinary theories from semiotics, post-modernism, feminism, cultural studies and literary criticism, will produce students with critical skills and analytical abilities. Graduates of the proposed program are expected to be employed in all areas of fine arts production, criticism, editing and administration.

The proposed program received Senate approval on June 28, 1993. York University indicates that the program will be offered without any additional demands being placed on the central University budget. Comments provided by COU indicate that support exists within the Ontario university system for the proposed change in program name.

The Academic Advisory Committee is satisfied that the program primarily involves a repackaging of existing courses, and that York University's request for funding eligibility is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Arts program in Cultural, Critical and Historical Studies in Fine Arts at York University be recommended as eligible for counting.

Academic Advisory Committee
December 13, 1993

Appendix J

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Environmental Science (Honours BSc)
York University**

**New Undergraduate Quasi-Professional Program
Considered for Funding Eligibility**

On July 30, 1993, York University submitted the new undergraduate quasi-professional Honours Bachelor of Science program in Environmental Science to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

1. Proposed Curriculum

The proposed Honours BSc program in Environmental Science program is

...intended to provide students with an interdisciplinary education organized around the field of environmental science rather than being focused on a single discipline. The program is designed to equip students with scientific knowledge and understanding of several environmental systems so that they can effectively analyze and deal with complex problems.¹

The goal of the proposed Honours BSc program in Environmental Science is to combine the breadth required to understand complex environmental issues with the development of in-depth skills, in particular scientific disciplines, in order to produce the level of expertise required by an environmental scientist. York University indicates that the proposed program is tightly structured and will only be offered as a four-year Honours program. In the first years of the program, students will receive a foundation in the areas of Science that are relevant to environmental issues. In the final two years of the program, students will select a choice of one of two streams, Physical Sciences or Life Sciences.

2. Academic Quality

The program was approved by the Senate of York University on June 2, 1992.

3. Financial Viability

No additional resources will be required to introduce the proposed program in Environmental Science. York University indicates that the program builds on existing strengths, draws entirely upon existing resources in the Departments of Earth and Atmospheric Science, Biology and Geography, and effectively realigns existing enrolments from associated programs where enrolments are expected to decline slightly.

1. York University, Submission for Approval to the Ontario Council on University Affairs, Honours BSc Environmental Science, p. 1.

York University has assured Council that the University has in hand the requisite resources to introduce the program, and is prepared to maintain the program for a reasonable period of time.²

4. Projected Enrolment

York University indicates that it projects a year-one intake level of 20 students for the program. The program is expected to reach a steady-state total enrolment level of 69 students in 1997-98.

5. Co-operation with other Post-Secondary Institutions

The Faculty of Pure and Applied Science, in collaboration with the other academic units at York University, will make available all of the academic resources needed to mount the program successfully.

6. Societal Need and Student Demand

York University argues that broadly-educated environmental scientists are needed to understand, and contribute to, the analysis and solution of environmental issues that are of increasing concern not only in Canada but throughout the world. Skilled individuals, with a holistic perspective, who can integrate knowledge from several disciplines are necessary to understand complex natural systems and the specific problems caused by human impact.³

It is argued that career opportunities for graduates exist in many sectors of the economy, including pulp and paper; chemical manufacturing; government; and universities and colleges. A 1992 Ernst and Young report entitled Human Resources in the Environment Industry reveals that the environment industry has the potential to be one of the country's leading growth industries over the next decade. Approximately 40 percent of the environment industry is located in Ontario, and both government and private sector activities are particularly concentrated in the Greater Toronto Area. For the future, it is argued that major opportunities for employment of environmental science graduates are likely to be concentrated in Toronto and adjacent areas. The report indicates that by 1995, the environment industry will require an addition of 2,000 to 3,000 skilled employees. The specific occupations cited include air quality specialists to monitor air pollution and implement solutions for abatement and control, and environmental scientists to perform environmental impact assessments.

The Committee reviewed example job advertisements for environmental scientists in the public and private sectors. Advertised positions from the Toronto Star and the Globe and Mail over a six-week period, from late August to early October 1992, included: Environmental Education Coordinator, BC Hydro; Environmental Coordinator, City of Mississauga; Environmental Approvals Co-ordinator, the Regional Municipality of Halton; Ecology/Safety Co-ordinator, BASF Canada Inc.; Environmental Control Officer, Regional Municipality of Sudbury; Senior Environmental Analyst, TransCanada Pipelines; Environmental Planner and Environmental Sales Representative, Clayton Environmental Consultants.

The Committee also reviewed letters provided by potential employers who had seen the curriculum and were willing to comment on the societal need for environmental scientists. Letters of support were received from the following potential employers in the field: LGL Ltd.; the Environmental Research Associates; Multiview Geoservices Inc.; the Ontario Hydro; Dillon Consulting Engineers - Planners Environmental Scientists; Ministry of Natural Resources; Ministry of the Environment and Energy; National Hydrology Research Institute, Environment Canada; the Environmental Assessment Board; and Senes Consultant Ltd.

2. Letter from Dr. Susan Mann, President, York University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 18, 1993.

3. York University, Op. cit., p. 1.

Student demand for admission to the proposed program is expected to be strong. York University indicates that the demand for admission to undergraduate Environmental Science programs in Ontario universities has grown significantly over the past several years. Letters received from the University of Guelph and Queen's University substantiate the argument made that the number of students wishing to enter Environmental Science programs in Ontario considerably exceeds the places available.

The Academic Advisory Committee is satisfied that there is convincing evidence of societal need and student demand for the proposed program.

7. Uniqueness

York University consulted with ten other universities in Ontario in order to identify program similarities and differences with existing Environmental Science programs offered in the province, and to consider the impact of the proposed program on the enrolment levels of these programs. AAC reviewed several letters received from other institutions and determined that some similarities exist between the Physical Science stream of the proposed Environmental Science program and the University of Waterloo's Environmental Science program. Similarities were also found to exist between the Life Science stream of the proposed program and Environmental Science programs at several other universities.

The Committee notes the existence of other similar programs currently operating in the Ontario university system, but concludes that duplication of existing programs in this area is justifiable given the significant societal need for graduates and the strong student demand for program places.

8. Local and Regional Support for the Program

Comments received from COU indicate that support exists in the Ontario university system for the proposed program.

Letters received from a number of private corporations and government agencies in the Greater Toronto Area indicate support exists for the proposed program.

The Academic Advisory Committee is satisfied that there is sufficient evidence of local and regional support for the proposed program.

9. Institutional Appropriateness

York University indicates that the proposed Honours BSc program in Environmental Science contributes to several objectives in the York University academic plan, including the university's commitment to interdisciplinary teaching and academic diversification while simultaneously encouraging mutual support between academic units.

The proposed program is based upon existing program strengths and resources drawn from the Departments of Biology and Geography, as well as the Faculties of Environmental Studies and Administrative Studies.

The Academic Advisory Committee is satisfied that this program is an appropriate development at York University.

10. Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Honours Bachelor of Science program in Environmental Science at York University be recommended as eligible for counting.

Academic Advisory Committee

December 13, 1993

ONTARIO COUNCIL ON UNIVERSITY AFFAIRS

ACADEMIC ADVISORY COMMITTEE

**Hispanic Studies (BA)
York University**

**New Undergraduate Special Program
Considered for Funding Eligibility**

(Cursory Review)

On July 30, 1993, York University submitted the new undergraduate special Bachelor of Arts program in Hispanic Studies to Council for a recommendation regarding funding eligibility. In accordance with established procedures, Council circulated the proposal to the Council of Ontario Universities (COU) for review and comment.

Council referred the program, and COU's comments, to its Academic Advisory Committee and asked for specific advice thereon. The Committee's findings, with respect to the program, are summarized below.

York University's Glendon College currently offers an approved Honours BA program in Hispanic Studies. The proposed BA degree program would give students the additional option of studying Hispanic language, literature and culture within a three-year program format.

York University (Glendon College) has recently restructured the introductory Spanish requirements under the existing Honours program, in an effort to make the program requirements more flexible and more congruent with other university-level language offerings. The University indicates that restructuring the level one and two courses has given students more flexibility, allowing them the option of obtaining credit for the required literature component in either their first or second year. Language requirements for the proposed BA program can now be completed by students within three years.

York University indicates that student demand for basic Spanish language training has grown in recent years. Students who wish to enter fields such as translation, social work, international business, political science, international studies, diplomatic service, immigration and refugee studies, Latin American history and civilization, marketing and trade affairs, and public relations, are expected to find the basic knowledge provided under the proposed three-year Hispanic Studies degree "an invaluable asset to further study."¹ York University also indicates that Spanish language training is viewed as a definite asset to graduates seeking careers in the above and related fields.

The need for Spanish interpreters has been identified at the local level by Metro Toronto Government officials. At the national level, the North American Free Trade Agreement (NAFTA) is expected to produce a greater need within the public, as well as private sector, for individuals with Spanish language skills and a knowledge of Hispanic culture.

The proposed program received Senate approval on October 13, 1992. York University indicates that all the resources needed are already in place under the existing Honours program. The program will be offered without any additional demands being placed on the central University budget.

1. York University, Submission to OCUA for Funding Eligibility Review: Hispanic Studies (Ordinary) BA, p. 1.

Comments provided by COU indicate that support exists within the Ontario university system for the proposed three-year program.

The Academic Advisory Committee is satisfied that the request for a General BA program in Hispanic Studies at York University is reasonable and justifiable.

Funding Recommendation

The Academic Advisory Committee, therefore, recommends to the Ontario Council on University Affairs that:

enrolment in the Bachelor of Arts program in Hispanic Studies at York University be recommended as eligible for counting.

Academic Advisory Committee

December 13, 1993

93-XI Program Approvals Policy and Procedures for Ryerson Polytechnic University

Summary

In this Advisory Memorandum, Council examines the existing policies governing the review of Ryerson academic programs and recommends on a new program approvals policy and set of procedures for Ryerson Polytechnic University. On June 14, 1993, Ryerson Polytechnical Institute became Ryerson Polytechnic University with a revised set of objects and expanded degree-granting authority. In July, 1993, Council noted these changes, and recognized some inconsistencies between the existing policy of program approvals and Ryerson's new status as a university. Accordingly, Council recommended to the Minister that a review of the policies governing the approval of Ryerson programs for funding eligibility be undertaken. In anticipation of such a review, Council consulted with Ryerson and developed principles upon which a future system of review should be based. The Minister subsequently accepted Council's recommendation for such a review and agreed to the suggested principles.

Council recommends that Ryerson's future program approvals policy be based on the following principles accepted by the Minister:

- All new programs, both undergraduate and graduate, would be subject to the Council's program approval procedures as new quasi-professional, special, professional or graduate programs (where "new" is defined in the Council's program procedures manual).
- The Ryerson program approvals cycle would be the same as for other universities. All new programs will be submitted by August 1 for approvals, beginning in the next fiscal year.
- The review criteria will be the same as for all other universities in the discipline areas identified. Institutional appropriateness would, as with all other universities, provide a reference point to the mission, character and collateral strengths in the university.
- The Ryerson Program Review Process (PREP) would no longer be mandated by government. Any periodic review of societal need for existing programs would be encompassed in the undergraduate academic quality review procedures recently proposed for all universities.¹

In this Advisory Memorandum, Council makes recommendations on three specific areas of the program approvals process:

- the review of **new program proposals** for funding eligibility review;
- the review of **existing program proposals** for continued funding eligibility; and
- the review of proposals for **degree designation change**.

In general, Council recommends that the same policy and procedures be applied to new Ryerson professional, quasi-professional and graduate programs as applied to other universities in Ontario. More specifically, Council makes the following recommendations:

- **New degree programs** be considered for formula funding by the Minister on the recommendation of Council, such recommendation to be based on the existing approval

1. Letter from The Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, January 6, 1994.

procedures for professional, quasi-professional and graduate programs at Ontario universities;

- **Existing degree programs** no longer be subject to the periodic review procedures for continued funding eligibility, as outlined in Advisory Memorandum 78-IV and 84-V; and
- **Degree designation changes** no longer be subject to the review procedures outlined in Advisory Memorandum 87-X.

1.0 Introduction

On June 1, 1993, Ryerson Polytechnical Institute became Ryerson Polytechnic University.² Under its new university status, Ryerson was given a revised set of objects defining its mission. These are:

1. The advancement of learning, the intellectual, social, moral, cultural, spiritual and physical development of the University's students and employees, and the betterment of society.
2. The advancement of applied knowledge and research in response to existing and emerging societal needs and in support of the cultural, economic, social and technological development of Ontario.
3. The provision of programs of study that provide a balance between theory and application and that prepare students for careers in professional and quasi-professional fields.³

Ryerson's new legislated status as a university and mission has established a new role for Ryerson within the Ontario post-secondary system. Council noted the specific changes made and considered their implications for the review of new academic programs offered by Ryerson Polytechnic University.

Under its revised Act, Ryerson is now a "polytechnic university" rather than a "polytechnical institute". Ryerson Polytechnical Institute was originally established as a centre for polytechnical education offering programs primarily concerned with the application of knowledge and training of individuals for specific vocational purposes. Thus, Ryerson was defined as an undergraduate institution oriented toward teaching degree and diploma programs of an applied nature. The Ryerson Polytechnical Act, 1977, set the parameters within which Ryerson was to operate, which differed from both the universities and the Colleges of Applied Arts (CAATs) in Ontario. Specifically, the Institute was to occupy a distinctive "middle position" within the post-secondary educational system, between the universities and the CAATs.⁴

Ryerson's new status as a university has had implications in two areas of Ryerson's role. First, through its new objects, Ryerson has been given an expanded mission. As a "polytechnical

2. Bill 1, amending the Ryerson Polytechnical Institute Act and establishing Ryerson Polytechnic University, was given Royal Assent on June 1, 1993, and was proclaimed effective June 14, 1993.

3. Ontario, An Act to Amend the Ryerson Polytechnical Institute Act, 1977 and the University Foundations Act, 1992, Toronto, 1993, p. 2.

4. Ontario Council on University Affairs, Advisory Memorandum 80-IV, "The Role of Ryerson Polytechnical Institute", Seventh Annual Report, 1980-81, p. 126.

institute", Ryerson was previously to be concerned primarily with its teaching function and was limited to offering programs of an applied nature. No formal requirement was made for either the institution or the faculty to conduct research. Under its new mission, Ryerson's role in research has been expanded, as well as its program offerings, to encompass programs of study in professional and quasi-professional fields, including graduate programs possibly in the future.

Second, in conjunction with its defined objects, Ryerson has been given the authority to grant a broader range of degrees. Under its previous status, Ryerson was restricted to awarding diplomas, certificates and Bachelor degrees in the Applied Arts, Technology and Business Management. Although Ryerson was subsequently given authority to grant other degrees, including Bachelor of Social Work and Bachelor of Engineering, Ryerson's degree-granting authority remained restricted by its undergraduate applied mission and controlled by a Government case-by-case review process of proposals for new degrees. Under its new status, Ryerson's degree-granting authority has been expanded to the provision of Bachelor's, Master's, Doctoral and Honourary degrees in professional and quasi-professional fields.

These changes to Ryerson's status, mission and degree-granting authority prompted Council to indicate to the Minister the need for a review of Ryerson's program approvals policy. Accordingly, Council stated in Advisory Memorandum 93-V:

Council notes Ryerson's recent change in status from a "polytechnical institute" to a "polytechnic university". Council recognizes the need for a review of all Advisory Memoranda associated with Ryerson's status and program review policy. These include, but are not limited to Advisory Memoranda 78-VI, 80-IV, 84-V, 87-X and 91-VII.⁵

During the Summer of 1993, Council initiated informal consultations with representatives of Ryerson to discuss the implications of Ryerson's new status on the program approvals process. In the Summer and Fall, a list of principles under which Ryerson's future program approvals process should be based was developed and later discussed and agreed to with the President of Ryerson.⁶ These principles have subsequently been accepted by the Minister in his letter of January 6, 1994. They are as follows:

- All new programs, both undergraduate and graduate, would be subject to the Council's program approvals procedures as new quasi-professional, special, professional or graduate programs (where "new" is as defined in the Council's program procedures manual). This approach is consistent with the Ryerson University Act, where programs offered are to be in professional and quasi-professional disciplines.
- The Ryerson program approvals cycle would be the same as for other universities. All new programs will be submitted by August 1 for approvals beginning in the next fiscal year.

5. Ontario Council on University Affairs, Advisory Memorandum 93-V, "Existing and New Program Funding Reviews for Ryerson Polytechnic University", July 23, 1993, pp. 8-9.

6. A meeting took place between Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs and Professor Terry Grier, President, Ryerson Polytechnic University, on December 14, 1993. A letter from Dr. Denis Mock, Vice-President, Academic, Ryerson Polytechnic University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, January 27, 1994, was later received confirming Ryerson's agreement with the stated principles.

- The review criteria will be the same as for all other universities in the discipline areas identified. Institutional appropriateness would, as with all other universities, provide a reference point to the mission, character and collateral strengths in the university.
- The Ryerson Program Review Process (PREP) would no longer be mandated by government. Any periodic review of societal need for existing programs would be encompassed in the undergraduate academic quality review procedures recently proposed for all universities.⁷

The purpose of this Advisory Memorandum is to advise the Minister on replacing the existing policies and procedures for Ryerson program approvals with a new set of policies and procedures, consistent with the objects of Ryerson Polytechnic University and the above described principles agreed to by the Minister.

2.0 Discussion

In 1978, the review of Ryerson Polytechnical Institute's academic programs for funding eligibility was established as a unique process different from the review process for degree programs at Ontario universities. Ryerson's mission in the 1970s was originally defined as offering programs which were career-oriented, practical in their emphasis and established in response to a defined labour market need. Consequently, a unique process of review was established to meet this mission. Council believed, at that time, that the process of program approval for new programs should correspond to the distinctive nature of Ryerson programs and reinforce its unique role as a polytechnical institution.⁸ As well, since Ryerson programs were to be closely related to the job market, ensuring continuing relevance to societal needs through periodic review of existing programs was viewed as necessary.

The Ryerson Polytechnical Institute Act, 1977, gave Ryerson limited degree-granting authority, including Bachelor of Applied Arts (BAA), Bachelor of Technology (BTech) and Bachelor of Business Management (BBM) degrees. In 1987, it was recognized that the uniqueness of the degree designations, for some Ryerson programs, was a disadvantage to graduates in the marketplace. Therefore, an amendment was made to the Act and a process of review was established under which proposed new degree designations for existing programs could be reviewed.

The current policies and processes, under which Ryerson programs are approved for funding eligibility, have developed over time and have been established through the Minister's acceptance of recommendations contained in a series of advisory memoranda. The current program approvals' policy for new and existing Ryerson programs, as well as degree designation changes, is set out in the following advisory memoranda:

Advisory Memorandum 78-IV:	Mechanism established for the funding eligibility approval of new and existing Ryerson programs.
Advisory Memorandum 80-IV:	Role of Ryerson Polytechnical Institute defined.

7. The Honourable Dave Cooke, Op. cit.

8. Ontario Council on University Affairs, 78-IV, "Program Funding Approval Procedures for Ryerson Polytechnical Institute", Fifth Annual Report, 1978-79, p. 72.

Advisory Memorandum 84-V:	Changes made to the mechanism for the funding eligibility approval procedures for new and existing Ryerson programs.
Advisory Memorandum 87-X:	Mechanism established for the review of requests for changes to degree designations.

The specific details outlining the application of each of the above advisory memoranda are found in the OCUA Program Procedures Manual. The Manual provides a compendium of program approvals policies to Ontario universities, and outlines procedures and information requirements for program submissions.

In this Advisory Memorandum, Council examines three aspects of Ryerson's current program approvals policy which it determined required review in the context of Ryerson's change in status, mission and degree-granting authority. These include:

- the review of **new program proposals** for funding eligibility;
- the review of **existing program proposals** for continued funding eligibility; and
- the review of proposals for **degree designation change**.

The current policy was reviewed and possible modifications for the future were considered with respect to each area.

2.1 Funding Eligibility Review for New Programs

With the Minister's acceptance of the recommendations contained in Advisory Memorandum 78-IV, a mechanism and set of procedures were established for the review of new Ryerson programs for funding eligibility. All Ryerson diploma and degree programs were required to receive funding approval before enrolments were eligible for BIU counting. Modifications and additions were subsequently made to this mechanism based on the recommendations contained in Advisory Memoranda 80-IV and 84-V. Simply put, a three-criteria mechanism, based on internal review and approval, was implemented. The three criteria by which program proposals were to be evaluated include: academic quality, societal need and financial viability. The application of these criteria was to be based on three corresponding elements: academic quality and standards of programs, assured by Ryerson's Academic Council; societal need, assured by the Ryerson administered Program Review Committees; and financial viability of programs, assured by Ryerson's Board of Governors. Council's role, in the process, was to examine and evaluate the materials received from the three Ryerson bodies and to recommend on program funding eligibility to the Minister.

Eleven Ryerson programs were approved for funding eligibility between 1980 and 1993 under this mechanism. These programs will, of course, continue to be eligible for counting.⁹

With the changes in the Ryerson Act, Council now believes that as a "polytechnic university" Ryerson should be subject to the same program approval procedures and review criteria as new professional, quasi-professional and graduate programs at other universities in Ontario. The current process of review for undergraduate professional and quasi-professional programs includes the following ten criteria¹⁰:

9. These programs include: Environmental Health, (BAA); Nursing, (BAA); Applied Computer Science, (BTech); Technological Studies, (BTech); Public Administration, (BAA); Fashion, (BAA); Aerospace Engineering Technology, (BTech); Child and Youth Care, (BAA); Health Services Management, (BAA); Theatre Technical Production, (diploma and BAA); Radio and Television Arts, (BAA).

10. The OCUA Program Procedures Manual outlines the information requirements for each criterion.

- Program Curriculum
- Academic Quality
- Financial Viability
- Projected Enrolment
- Extent of Proposed Co-operation between or among Post-Secondary Institutions in Offering the Program
- Societal Need and Student Demand
- Whether the Program is Significantly Different from Other Programs in the Province
- Extent of Local and Regional Support
- Institutional Appropriateness
- Funding even in a Time of Economic Restraint

The current review process for graduate programs includes the following four criteria¹¹:

- Academic Quality¹²
- Societal Need and Student Demand
- Institutional Appropriateness
- "Appropriate development within the Ontario university system"

Proposals for new programs addressing the stated criteria are submitted to Council by August 1 of each year for funding eligibility review. These programs are then assessed against the criteria, and a positive or negative recommendation for funding eligibility is made to the Minister for each program in the following February or March. Under the proposed process, Ryerson would be expected to follow the same procedures and timelines as other Ontario universities.

Council notes that differences exist between the current Ryerson process and the proposed process applied to other universities in the system. For example, the process recommended for undergraduate Ryerson programs involves ten rather than three review criteria. However, Council also notes that the three criteria - academic quality, societal need and financial viability - are common to both processes. Furthermore, much of the information required under the recommended process coincides with that required under the existing three-criteria mechanism.

During discussions with Ryerson, Council noted the unique mission and character of Ryerson Polytechnic University within the Ontario university system. In particular, it was recognized that the new legislated objects restrict Ryerson's academic program offerings to programs of study "that prepare individuals for careers in professional and quasi-professional fields".¹³ Council considered this distinctive feature and discussed whether this would be adequately addressed under the proposed review criteria. Council concluded that the review criterion "institutional appropriateness" would capture any important institutional strengths which should be considered in the assessment of proposed new undergraduate and graduate programs.

As a polytechnic university, Council believes that Ryerson should not be subject to the distinctive review procedures for new programs outlined in Advisory Memoranda 78-IV and 84-IV. Council recommends that the new professional, quasi-professional and graduate programs

11. Idem.

12. As certified by the Council of Ontario Universities (COU) through the Ontario Council on Graduate Studies (OCGS).

13. Ontario, Op cit., p. 2.

being proposed for funding eligibility by Ryerson Polytechnic University, be subject to the same review criteria and procedures as new programs at other Ontario universities.

2.2 Continued Funding Eligibility Review for Existing Programs

As noted above, in 1978, Council recognized the unique position of Ryerson Polytechnical Institute in the Ontario post-secondary system with respect to its mission and program offerings.

The programs have traditionally been career oriented, practical in their emphasis and established in response to a defined need. These program characteristics have given Ryerson a distinctive place within the post-secondary system, it being neither a College of Applied Arts and Technology nor a traditional university.¹⁴

At that time, Council believed that the program approvals process established for Ryerson should include a mechanism which would help maintain the character of Ryerson's programs and reinforce the polytechnical role of the institution. Accordingly, in order to ensure the continued relevance of existing Ryerson programs to societal needs, a process was established through which existing Ryerson programs would undergo periodic review.

Since 1978, existing approved Ryerson programs have been subject to review for continued funding eligibility at least every seven years. The same mechanism and criteria have been applied as put in place for the review of new Ryerson programs. That is, a three-criteria mechanism, including the assessment of academic quality, societal need and financial viability, was selected as the appropriate means of reviewing existing programs. However, the application of these criteria for periodic review was given a slightly different emphasis. For example, the primary focus of the review of societal need for an existing Ryerson program has been the assessment of current and anticipated labour market needs, as well as student demand and employment opportunities.

With the changes to Ryerson's status and mission, Council considered whether it was necessary to continue the periodic review of existing Ryerson programs for funding eligibility. While Council recognizes that the amended act for Ryerson continues to emphasize the professional and applied nature of Ryerson programs, Council believes that, with respect to the review of existing programs, the changes to the scope of program offerings and research role are such that Ryerson should be treated in a similar manner as other universities in Ontario. Therefore, Council believes that existing Ryerson programs should no longer be subject to the requirements of periodic review as set out in Advisory Memoranda 78-V and 84-V.

In Advisory Memorandum 93-VI, Council recommended that all undergraduate universities programs undergo periodic quality reviews and that this process be based on a system of "monitored self-regulation".¹⁵ The specifics of this process of academic quality review for undergraduate programs are currently under consideration by the Minister. Included in the proposed process is the consideration of societal need. Specifically, "social relevance" has been listed as one of the 19 "minimum requirements" for internal academic quality review procedures at Ontario universities.

The review must address the **social relevance** of the program, by examining such information as employment and achievements of graduates, views of employers, labour market expectations, how the program develops "liberal education skills" (critical thinking, communication, writing, research, etc.), whether the

14. Ontario Council on University Affairs, *Op cit.*, p. 72.

15. Ontario Council on University Affairs, Advisory Memorandum, 93-VI, "Academic Quality Reviews", July 23, 1993, p. 1.

program/institution assists graduating students with job placement, and whether there is continuing student demand for the program.¹⁶

Council believes that this provision for future periodic review of societal need, subsumed under the undergraduate academic quality review procedures, retains a positive aspect of the existing Ryerson PREP process. At the graduate level, Council notes that any new graduate programs which were to be proposed by Ryerson in the future, would be subject to the periodic review procedures for graduate programs conducted by the Ontario Council of Graduate Studies (OCGS). While this review process does not directly address societal need for existing programs, it does include a rigorous review of the academic quality. Council believes that the OCGS process will provide a sufficient periodic review of any graduate program offered by Ryerson in the future.

2.3 Requests for Degree Designation Changes

As noted above, in 1971, Ryerson was granted limited degree-granting authority. Under the Ryerson Polytechnical Institute Amendment Act, 1971, Ryerson was restricted to offering the Bachelor of Applied Arts (BAA) and Bachelor of Technology (BTech) degrees. Subsequently, Ryerson was permitted to also grant the Bachelor of Business Management (BBM) degree in 1977.

In 1987, Ryerson made a submission to Council requesting amendments be made to the Ryerson Act which would facilitate the consideration of new degree designations for existing programs. A proposal was also put forth by Ryerson for a mechanism which would review such new degree designations. The following amendment to the Act in 1987 set the parameters for Ryerson's degree granting authority between 1987 and 1992:

(h) to grant bachelor of applied arts, bachelor of technology and bachelor of business management degrees, **and such other baccalaureate degrees as are consistent with the professional and quasi-professional programs of the Institute and have been authorized by a process approved by the Minister...**¹⁷

The review mechanism, accepted by the Minister, was to ensure that new degree designations for existing programs would appropriately reflect program content as well as enhance and reinforce Ryerson's differentiated role. Accordingly, Council made recommendations to the Minister regarding proposed new degree designations under a mechanism which addressed the following issues:

- whether or not the degree designation reflects program content;
- whether or not the degree designation reflects and enhances Ryerson's differentiated role; and
- the suitability of the proposed change in degree designation.¹⁸

16. *Ibid.*, p. 15.

17. Ontario Council on University Affairs, 87-X, "An Amendment to the Ryerson Polytechnical Institute Act of 1977 regarding Degree Designation", Fourteenth Annual Report, 1987-88, p. 119.

18. More details regarding the applied mechanism can be found in Advisory Memorandum 87-X, "An Amendment to the Ryerson Polytechnical Institute Act of 1977 regarding Degree Designation".

In 1991 and 1992, under this review process Ryerson received approval to grant the Bachelor of Social (BSW) in Social Work and the Bachelor of Engineering (BEng) in Electrical, Chemical, Aerospace, Civil, Mechanical and Industrial Engineering.

As a "polytechnic university", Ryerson has been authorized "to grant bachelor's degrees, master's degrees, doctoral degrees and honorary degrees consistent with the University's objects."¹⁹ With this expanded degree-granting authority, Council recognizes that there is no longer a need for a distinctive review mechanism which considers new Ryerson degree designations. However, Council does note that modifications to course content and changes to degree designations of existing approved programs may constitute the development of a "new" program as defined in the OCUA Program Procedures Manual. Council believes that Ryerson should now be subject to the same definitions and processes for program approvals as other universities in Ontario, including changes to degree designations. Therefore, Council believes that the review mechanism and corresponding information requirements outlined in Advisory Memorandum 87-X should no longer apply to Ryerson Polytechnic University.

3.0 Recommendations

Council believes that the future policy and process of approval for new Ryerson academic programs should be consistent with the objects legislated for Ryerson and the principles agreed to by the Minister of Education and Training. Council also believes Ryerson should be subject to the same procedures and schedule of timing for new professional, quasi-professional and graduate programs as other universities in Ontario, which are outlined in the OCUA Program Procedures Manual.

Accordingly, Council *recommends to the Minister:*

OCUA 93-81

FUNDING ELIGIBILITY REVIEW FOR NEW PROGRAMS AT RYERSON POLYTECHNIC UNIVERSITY

THAT, all new degree programs be considered for formula funding by the Minister on the recommendation of Council, such recommendation to be based on the approval procedures for professional, quasi-professional and graduate programs as outlined in this Memorandum.

OCUA 93-82

CONTINUED FUNDING ELIGIBILITY REVIEW FOR EXISTING PROGRAMS AT RYERSON POLYTECHNIC UNIVERSITY

THAT, all existing degree programs no longer be subject to the periodic review procedures as outlined in Advisory Memoranda 78-IV and 84-V.

OCUA 93-83

REVIEW OF DEGREE DESIGNATION CHANGES AT RYERSON POLYTECHNIC UNIVERSITY

THAT, all degree designation changes no longer be subject to the review procedures as outlined in Advisory Memorandum 87-X.

19. Ontario, Op.cit., p. 4.

4.0 Conclusion

Council believes that, under the proposed policy and procedures for new and existing programs as well as changes to degree designations, Ryerson will play a vital role in the Ontario university system as a "polytechnic university".

Joy Cohnstaedt,
Chair

February 11, 1994

OCUA PUBLIC MEETINGS 1993-94

OCUA PUBLIC MEETINGS 1993-94

Date	Location and Participants
November 6, 1993	University of Toronto Brock University Carleton University University of Guelph Lakehead University Laurentian University Algoma College Hearst College McMaster University Nipissing University University of Ottawa Queen's University Ryerson Polytechnic University University of Toronto Trent University University of Waterloo The University of Western Ontario Wilfrid Laurier University University of Windsor York University Canadian Federation of Students - Ontario (CFS-O) Canadian Union of Educational Workers (CUEW)

**GOVERNMENT RESPONSES TO
OCUA RECOMMENDATIONS
1993-94**



Ministry
of Education
and Training

Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

August 26, 1993

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor
700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Cohnstaedt:

Thank you for your letters of April 20, May 25 and June 7, 1993, submitting the following reports of the Council:

- Advisory Memorandum 93-I, "Graduate Program Funding 1993-94".
- Advisory Memorandum 93-II, "Undergraduate Quasi-professional, Special and Professional Program Funding 1993-94".
- Annual report on the establishment by universities in 1993-94 of new programs in core arts and science disciplines and new certificate and diploma programs.

I am pleased to **accept** the recommendations contained in both Advisory Memoranda, and to **receive** the annual report (which was submitted for information).

Graduate Programs

The following 18 graduate programs have been approved for funding eligibility, at the recommended weights and categories consistent with the ministry's Operating Funds Distribution Manual (with two conditions as noted):

Brock University	MA	Psychology
Carleton University	MA	Communications
	MA	Legal Studies
	MA	Political Economy

.../2

University of Guelph	MSc	Aquaculture
	MMS	Hospitality Management
	MFA	Studio Art
Lakehead University	MF	Forestry
University of Ottawa	IMBA	International Business
	MScN	Nursing
	(*) MScS	Audiologie et Orthophonie [Orthophonie offered jointly with Laurentian University]
	(*) MSS	Service Social
University of Toronto	PhD	Nursing Science
Trent University	MA/MSc	Applications of Modelling in the Natural and Social Sciences
	MA	Methodologies for the Study of Western History and Culture
Wilfrid Laurier University		
	MA	Business Economics
University of Windsor	MSc	Computer Science
York University	PhD	Ethnomusicology /Musicology.

(*) The MScS and MSS programs at University of Ottawa (part of one to be offered jointly with Laurentian University) are approved **conditional** upon the universities satisfying the ministry that necessary resources to develop and ensure the long-term viability of the programs have been secured.

I have accepted the Council's advice that the following three graduate programs **not** be eligible for funding eligibility:

University of Waterloo	MA	Gerontology
	MA	Religious Studies

.../3

York University MA French Studies.

Undergraduate Programs

The following 20 undergraduate programs have been approved for funding eligibility, at the recommended weights and categories consistent with the ministry's Operating Funds Distribution Manual:

Brock University	BA	Linguistics
Carleton University	BA/Hons BA	Environmental Studies
	Hons BA	German Studies
Lakehead University	BA	Visual Arts
McMaster University	BEng[Soc]	Ceramic Engineering and Society
	BEng[Soc]	Computer Engineering and Society
	BEng[Soc]	Electrical Engineering and Society
	BEng[Soc]	Materials Engineering and Society
	BEng[Soc]	Mechanical Engineering and Society
	BEng[Soc]	Metallurgical Engineering and Society
	Hons BA	German Area Studies
	Hons BA	Linguistics
	Hons BA	Literary Studies
	Hons BA	Modern Languages
	Hons BA	Russian and Eastern European Area Studies

.../4

Queen's University	Hons BSc	Environmental Science - Earth Systems Science
	Hons BSc	Environmental Science - Environmental Biology
	Hons BSc	Environmental Science - Environmental Chemistry
	Hons BSc	Environmental Science - Environmental Geology
University of Waterloo	Hons BSc	Environmental Science.

Please convey my appreciation to the members and staff of both the Council and the Academic Advisory Committee for their work in reviewing this year's program proposals.

Sincerely,



Dave Cooke
Minister
M.P.P., Windsor-Riverside

cc: The Honourable Ruth Grier
Minister of Health



Ministry
of Education
and Training

Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

June 24, 1993

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor, 700 Bay Street
Toronto, Ontario
M2H 2T8

Dear Professor Cohnstaedt:

I would like to thank you and the members of council for the advice presented in:

- . correspondence of June 18, 1993 regarding "Modification to Advisory Memorandum 93-IV: Advice on the Distribution of the Additional \$110.0 million Transfer Payment Reduction for Ontario Universities in 1993-94";
- . Advisory Memorandum 93-IV, "Modification to Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94, in Light of Government's Expenditure Control Plan Announced by the Minister of Finance, April 1993";
- . Advisory Memorandum 93-III, "Review of the Distribution Mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope"; and
- . Advisory Memorandum 92-XI, "The Allocation of Government's Operating Support for the University System in 1993-94".

I appreciate all the work that council and staff have put into preparing the allocative advice for this exceptional year, as the Province faces the challenge of restructuring for the future.

I am pleased to accept the recommendations put forward by council, as reflected in your memorandum of June 18, 1993, with respect to the amount allocated to each of the funding envelopes and the distribution of the funds among universities within each of the envelopes.

Accordingly, for fiscal 1993-94:

- . The differentiation grant for Trent University will be \$1,658,000.
- . The Northern Ontario Operations Grants will total \$7,910,000 and the Northern Ontario Mission Grants will be \$2,781,000, both allocated as recommended.
- . The regular bilingualism grants will total \$24.053 million, allocated as recommended, according to the incidence of incremental bilingualism costs as identified in Advisory Memorandum 89-III.
- . An extraordinary grant of \$665,000 will be provided to Algoma College for 1993-94, contingent on the provision of a written guarantee of deficit reduction.
- . The Research Overheads/Infrastructure Envelope will total \$28.337 million, distributed according to each institution's share of federal granting council's peer-adjudicated research grants for 1989-90, 1990-91 and 1991-92, allocated as recommended.
- . 1,000 International Graduate Student waivers will be awarded, at a rate of \$5,326 per waiver, for a total of \$5,326,000, allocated as recommended.
- . Access for the Disabled will be funded with \$4,892,000 in total and will be distributed, commencing 1993-94, based on a three-year moving-average of total eligible Full-time Equivalent students, slipped one year, with a floor provision of \$60,000 for Hearst College and Dominican College and a floor of \$90,000 for other provincially-assisted university-level institutions.
- . Corridor shift funding in the amount of \$171.864 million will be distributed according to the method described.
- . The \$5.9 million in grants associated with AQ activity will be withdrawn from the institutions concerned as advised, by increasing the fees used in the basic envelope grant calculation. The institutions may increase the fees charged to students as outlined in my memorandum of June 15, 1993 in order to maintain basic income levels.
- . The basic grants envelope will total \$1,555.239 million excluding a \$500,000 contingency reserve, with the preliminary distribution being made according to the advice presented.
- . University transfer payments for 1993-94 will be reduced by \$110.0 million in total, in respect of

targetted reductions associated with the recent Social Contract legislation. The reduction for individual institutions will be made in accordance with the methodology prescribed in council's June 18, 1993 memorandum. The appropriateness of a review or adjustment to the social contract target in 1994-95 will have to be assessed once the sectoral and local negotiations have been concluded.

With respect to the Northern Ontario Mission grants, the ministry will perform both the pre- and post-fiscal year approval and monitoring process, according to the guidelines proposed by OCUA. This will, we believe, reduce the administrative difficulties involved in having reports submitted to different agencies, while maintaining the intent of council's advice. Funds will not be flowed from this envelope prior to project approvals in future years, unless the institutions have instituted adequate separate fund accounting procedures by the end of 1993-94.

I would ask that council undertake a review to determine the feasibility of transferring some level of Algoma's extraordinary grant to its base funding.

I note that the advice on the AQ related grant reductions pertains to 1993-94 only. I look forward to council's advice as to the planned phase out of the balance of the \$58.5 million from the university grant over the next three years.

As recommended, I would ask that council undertake a review of the ministry's long-term funding to enhance university education related services for students with disabilities.

For your information, the distribution of the \$7.625 million in faculty renewal funding for 1993-94 is detailed in the attached table.

Thank you again.

Sincerely,



Dave Cooke
Minister
M.P.P., Windsor-Riverside

FACULTY RENEWAL PROGRAM 1993-94

Brock	115,442
Carleton	346,326
Guelph	518,709
Lakehead	232,444
Laurentian	173,943
Algoma	0
Hearst	0
McMaster	460,208
Nipissing	0
Ottawa	635,711
Queen's	692,652
Toronto	1,503,866
Trent	115,442
Waterloo	577,210
Western	634,151
Wilfrid Laurier	115,442
Windsor	289,385
York	752,713
O.I.S.E.	115,442
Ryerson	289,385
O.C.A.	56,941
Dominicain	0
TOTAL	7,625,412

\\FORMFUND\\RENEWAL



Ministry of Education
and Training

Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

January 06, 1994

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor
700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Cohnstaedt:

Thank you for your letter of July 29, 1993 transmitting Advisory Memorandum 93-V, "Existing and New Program Funding Reviews for Ryerson Polytechnic University".

I am pleased to accept the following recommendations contained in this Advisory Memorandum.

1. Approval of funding eligibility for:

Bachelor of Applied Arts in Health Services
Management;
Bachelor of Applied Arts in Radio and Television
Arts;
Diploma and Bachelor of Applied Arts in Theatre
Technical Production.

2. Approval of continued funding eligibility for:

Bachelor of Applied Arts in Public Administration.

I have also accepted the Council's proposal to review the policies governing the approval of Ryerson programs for funding eligibility. As a result of earlier discussions with Ryerson, it is anticipated that, following the Council's review, Ryerson programs would be treated in the following manner:

- . All new programs, both undergraduate and graduate, would be subject to the Council's program approvals procedures as new quasi-professional, special, professional or graduate programs (where "new" is as defined in the Council's program procedures manual).

.../2

This approach is consistent with the Ryerson University Act, where programs offered are to be in professional and quasi-professional disciplines.

- . The Ryerson program approvals cycle would be the same as for other universities. All new programs will be submitted by August 1 for approvals beginning in the next fiscal year.
- . The review criteria will be the same as for all other universities in the discipline areas identified. Institutional appropriateness would, as with all other universities, provide a reference point to the mission, character and collateral strengths in the university.
- . The Ryerson Program Review Process (PREP) would no longer be mandated by government. Any periodic review of societal need for existing programs would be encompassed in the undergraduate academic quality review procedures recently proposed for all universities.

Please extend my appreciation to the members and staff of both the Council and the Academic Advisory Committee for their work in reviewing this year's program proposals.

Sincerely,



Dave Cooke
Minister
M.P.P., Windsor-Riverside

cc: The Honourable Ruth Grier
Minister of Health



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Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

September 15, 1993

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor
700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Cohnstaedt:

I am pleased to respond to the Ontario Council on University Affairs' "Advisory Memorandum 93-VI: Academic Quality Reviews" submitted to me on July 29, 1993.

I am aware that the topic of program reviews has been under consideration by the council over the past two years, and has been the topic of consultations with members of the university community on a number of occasions. I wish to express my appreciation to council members and staff for the considerable time and effort that has gone into this work and the development of the final advisory memorandum.

I consider the council's recommendations on program reviews to be a crucial element -- along with the recommendations of the Task Force on University Accountability -- in the development of a more comprehensive framework for the accountability of Ontario's universities to government and the public at large.

As you and other council members will be aware, the final report of the Task Force on University Accountability, University Accountability: A Strengthened Framework, has been circulated widely within the university community, with a request for comments by October 1, 1993. Later this fall, I hope to be in a position to clarify government's response to the Task Force report. Until I have had an opportunity to consider comments on the Task Force report, I will not be in a position to respond in detail to all of the recommendations contained in Advisory Memorandum 93-VI. In this context, I offer the following comments.

.../2

I intend to establish a system of academic quality reviews to provide accountability for program quality in Ontario's publicly-assisted degree-granting institutions. I believe that the council's recommendations regarding a system of "monitored self-regulation", involving institutionally-conducted peer reviews and periodic audits by an external body, is an appropriate approach to ensuring accountability for academic quality.

I further intend that the system of program reviews be established in keeping with the general framework the council has recommended.

- Institutions will be required to set institutional quality standards, develop program review procedures, and undertake reviews of all undergraduate programs at least once every ten years.
- Institutions will be subject to province-wide guidelines for institutional review procedures.
- Governing bodies will retain responsibility for academic quality and will be responsible for ensuring program reviews are undertaken.
- Each institution will have its program reviews and review procedures externally audited at least once every seven years.
- Graduate programs will remain subject to the existing OCGS appraisals process, which will itself be subject to external audit at least once every seven years.
- The external audit body will be subject to a sunset review before the end of the first audit cycle.

As further outlined below, there are some recommendations in the Advisory Memorandum which I am not prepared to address definitively at the present time. I expect to provide further comments on these issues once I have considered responses to the report of the Task Force on University Accountability.

I am in general agreement with the specific program review guidelines and minimum requirements recommended in the advisory memorandum. I would prefer, however, to defer the finalization of these guidelines and minimum procedures. I believe such guidelines and procedures should be finalized within the context of a broader accountability framework. I would like to assure council members that, as the intermediary body between universities and government, OCUA will have a key role.

Advisory Memorandum 93-VI recommends the establishment of a new regulatory body, the Academic Quality Audit Committee, to undertake the external monitoring functions associated with a system of program review. While I fully endorse the concept of an external audit agency, I am not prepared to endorse the specific recommendations for an Academic Quality Audit Committee at this time. I prefer to consider the appropriate structure of an audit body along with consideration of the external monitoring agency recommended by the Task Force on University Accountability.

I can appreciate the intent of the council's recommendation that the review and audit procedures be implemented beginning in the 1993-94 academic year. Academic quality reviews are already being conducted at many institutions, and it is important that they be initiated soon at the remaining universities. I believe it will be important, however, to integrate the development of new academic accountability requirements and the development/ refinement of institutional review procedures into any broader accountability requirements which may result from the Task Force on University Accountability.

I believe that Advisory Memorandum 93-VI makes a very positive contribution toward the development of a more accountable university system. I continue to be encouraged with the progress we are able to make through the cooperative efforts of members of university communities, the Ontario Council on University Affairs and the Ministry of Education and Training.

Thank you once again, to all members of the council, for the time and effort put into the preparation of Advisory Memorandum 93-VI.

Sincerely,

A handwritten signature in dark ink, appearing to read "Dave Cooke". The signature is fluid and cursive, with a prominent initial "D" and a long, sweeping underline.

Dave Cooke
Minister
M.P.P., Windsor-Riverside



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Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

April 14, 1994

Ms. Joy Cohnstaedt
Chair
Ontario Council on University Affairs
700 Bay Street, 7th Floor
Toronto, Ontario
M5G 1Z6

Dear Ms. Cohnstaedt:

I am writing in response to Advisory Memorandum 93-V11, the Ontario Graduate Scholarship Program 1994-95, which you submitted on behalf of the council. I am pleased to advise you that the council's recommendations will be implemented during the 1994-95 academic year, specifically:

- The number of general Ontario Graduate Scholarships for 1994 - 95 will be maintained at a total of 1300 for the open competition, the institutional awards and the visa students awards;
- The Ontario Graduate Scholarship stipend value 1994-95 will be maintained at \$11,859 or \$3,953 per term; and
- The number of Ontario Graduate Scholarships awarded to persons on student visa in 1994-95 will be maintained at 60.

As indicated in the council's advice, the issue of the number and value of Ontario Graduate Scholarship awards is a significant one which must be monitored on a yearly basis. I appreciate the council's willingness to provide advice within the broader context of the current financial constraints on government spending.

Regarding the recommendation of the Chair of the Selection Board for the 1993-94 competition that the scholarships presently designated as Institutional awards be reallocated to the open competition, I agree that no changes to the distribution of the general awards should be made at this time. Although the issues raised by the Chair of the Selection Board are of concern, there does not appear to be a consensus of support within the university community for the removal of the institutional awards.

.../2

I am also looking forward to receiving the advise of the council regarding the issue of a targeted bursary program, and am pleased to hear that the council also plans to identify other strategies to encourage the elimination of barriers to graduate study for under-represented groups.

I would like to take this opportunity to thank you and the other members of the council for your advice regarding the Ontario Graduate Scholarship Program. With the assistance of the many members of the graduate community involved with the program, the Ontario Graduate Scholarships continue to provide important support to outstanding scholars studying in Ontario.

Sincerely,

A handwritten signature in dark ink, appearing to read "Dave Cooke", written in a cursive style.

Dave Cooke
Minister
M.P.P., Windsor-Riverside



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Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

February 8, 1994

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
LuCliff Place
7th Floor, 700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Cohnstaedt:

I would like to thank you and the members of council for the advice presented in Advisory Memorandum 93-VIII, "The Removal of \$58.5 million from Ontario Institutions Funded Through University Operating Grants and the Funding Eligibility of Additional Qualifications Courses for In-Service Elementary and Secondary School Teachers".

I am pleased to accept the advice of OCUA as presented. Funds will be withdrawn from all institutions in the university system, according to the schedule already in place. Institutions which offer, or have offered, AQ courses will accept a slightly larger proportion of the cuts during the phase out period, in view of their opportunity to benefit from the allowable increases in fees for these courses.

A working group comprised of major stakeholders in the education of teachers in the province will be appointed shortly, to advise the ministry on the best means of ensuring that AQ courses remain available to teachers for professional development purposes. This group will be asked to develop and forward to the Ministry an interim strategy for AQ course delivery. It is hoped that the group will report by the end of April, 1994.

.../2

We propose to continue to regulate fees for AQ courses, until such time as the funding withdrawal is complete, in 1997-98. Accordingly, universities will be asked to continue to report AQ enrolments as eligible, according to the arrangements instituted for the 1993-94 year. This arrangement will also allow us to monitor the true activity levels in these courses, and assess the impact of implementing the revised policies. Fees for 1994-95 will rise as recommended, supplementing any overall change in fee levels.

Sincerely,

A handwritten signature in cursive script, appearing to read "Dave Cooke".

Dave Cooke
Minister
M.P.P., Windsor-Riverside



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Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifce Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

April 25, 1994

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor
700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Cohnstaedt:

Thank you for your letters of February 11 and 15, 1994 transmitting Advisory Memorandum 93-IX (Graduate Program Funding 1994-95) and Advisory Memorandum 93-X (Undergraduate Quasi-Professional, Special and Professional Program Funding 1994-95).

I am pleased to accept the council's advice contained in these two Advisory Memoranda, specifically, that the following proposed new programs be approved for public funding eligibility at the categories and weights consistent with the Ontario Operating Funds Distribution Manual:

Brock	Hons BA	Linguistics
Carleton	Hons BA	Linguistics and Applied Language
	Hons BA	Teaching English as Second Language
	PhD	Public Policy
Guelph	Hons BA	European Studies
Queen's	MScN	Nursing
Toronto	MN	Nursing
	MOHyg	Occupational Hygiene
Waterloo	Hons BSc	Environmental Chemistry
	BASc	Environmental Engineering
	MES	Environmental Studies in
		Environment and Resource Studies
Western	Hons BSc	Kinesiology
Windsor	MScN	Nursing
York	Hons BA/BA	Conservation & Environmental
		Studies
	Hons BA	Cultural, Critical & Historical
		Studies in Fine Arts
	Hons BSc	Environmental Science
	BA	Hispanic Studies.

.../2

- 2 -

Please convey my appreciation to the members and staff of both the council and the Academic Advisory Committee for their work during this year's program review cycle.

Sincerely,

A handwritten signature in dark ink, appearing to read "Dave Cooke". The signature is fluid and cursive, with the first name "Dave" and last name "Cooke" clearly distinguishable.

Dave Cooke
Minister
M.P.P., Windsor-Riverside

cc: The Honourable Ruth Grier
Minister of Health



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Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télocopieur (416) 325-2608

Minister

Ministre

May 6, 1994

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor
700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Cohnstaedt:

Thank you for your letter of February 15, 1994
transmitting a copy of the council's Advisory Memorandum
93-XI: "Program Approvals Policy and Procedures for
Ryerson Polytechnic University".

I am pleased to accept the recommendations contained in
this Advisory Memorandum, specifically:

- . That all new degree programs proposed by Ryerson be
reviewed for funding eligibility according to the
criteria and procedures for reviewing new
professional, quasi-professional or graduate programs
proposed by provincially-assisted universities.
- . That existing degree programs at Ryerson no longer
require periodic review by the council.
- . That degree designation changes no longer require
review by the council.

Please extend my appreciation to the members and staff of
both the council and the Academic Advisory Committee for
their work on this advice.

Sincerely,

Dave Cooke
Minister
M.P.P., Windsor-Riverside

CAZON
DG 705
-A56

1994-95

Ontario
Council on
University
Affairs

21st
Annual
Report



Ontario
Council on
University
Affairs

21st
Annual Report
April 1, 1994
to
March 31, 1995

56 Wellesley Street West
Tenth Floor
Toronto, Ontario
M7A 2B7

Telephone: (416) 314-6969

August, 1995

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Resource Allocation Review

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Ontario Council
on University Affairs

56 Wellesley St W 10th Floor
Toronto ON M7A 2B7
(416) 314-6969
Facsimile (416) 314-6982

Conseil Ontarien
des Affaires Universitaires

56 rue Wellesley ouest 10^e étage
Toronto ON M7A 2B7
(416) 314-6969
Télécopieur (416) 314-6982



Summary: Letter of Transmittal

The Honourable John Snobelen
Minister of Education and Training
22nd Floor, Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2

August 31, 1995

Dear Mr. Snobelen:

I respectfully submit herewith the 21st Annual Report of the Ontario Council on University Affairs, which covers the period April 1, 1994 to March 31, 1995.

Each year Council is called upon to provide advice on the allocation of available funds; the eligibility of new graduate and undergraduate programs for funding; and upon matters referred to it that pertain either to one institution or to the system as a whole. The threefold nature of Council's advisory responsibility - financial, regulatory and ministerial references - is reflected in the Advisory Memoranda and associated documents Government received and responded to during 1994-95.

This has been an invigorating year for the Council. I have been privileged to work with OCUA's dedicated and knowledgeable members, and with a superb staff complemented from time to time with the valuable skills of consultants and seconded staff from the Ministry of Education and Training. The primary task before us in 1994-95 was an extraordinary review of the Ontario university funding system. A substantial portion of the excellent research and background work on this topic undertaken by this remarkable team is contained in this Report. I believe these results will provide a benchmark for the quality and analytical capability expected in the emerging

field of postsecondary education policy research in Canada, and will prove to be an invaluable resource now and in the future.

Throughout the year, Council undertook its customary work on the allocation of operating support for the university system in 1994-95 (Advisory Memorandum 94-I) and in 1995-96 (Advisory Memorandum 94-III). Council also reviewed the Graduate Student Bursary Program (Advisory Memorandum 94-II), but it was the Ministerial Reference on Resource Allocation that preoccupied Council throughout the fall and winter of 1994-95. Council undertook an extensive public consultation based on its discussion paper "Sustaining Quality in Changing Times". Members traveled throughout Ontario to meet with each university and with representatives of the communities each serves, as well as with concerned citizens and provincial and national organizations. I am grateful for the hospitality we received and the level of participation in this review. In anticipation of presenting its advice to you later in the spring, Council considered the terms of reference in relation to what it had learned from these hearings, the independent research it had undertaken and the changes that are contemplated by the federal government with regards to federal transfers to the provinces for postsecondary education.

Today my three-year term as Chair of the Ontario Council on University Affairs draws to a close. I wish to express my appreciation to the Government of Ontario for the opportunity to be of service to the people of Ontario. My sincere appreciation is extended to all of the members, staff and advisors of the Council who have worked with me since September, 1992. Without their dedication, diligence and expertise we could not have continued to achieve the high quality of the work represented in this Report.

Yours sincerely,

A handwritten signature in dark ink, appearing to read "Joy Cohnstaedt". The signature is fluid and cursive, with a large initial "J" and "C".

Joy Cohnstaedt,
Chair

Encl.

WHAT IS OCUA?

The Ontario Council on University Affairs (OCUA) is an agency of the Government of Ontario and consists of up to 21 members, including the chair. Appointments are made by the Lieutenant Governor in Council of the Province of Ontario and are usually for three-year terms beginning March 1st.

The Council is an advisory body and it submits its advice to the Minister responsible for universities, or to the Lieutenant Governor in Council, through the same Minister. Council has no statutory executive powers.

In 1989, Government set down the following statement of purpose for Council:

- advise the Minister on all matters of policy (including operational and capital funding) involving one or more universities as a whole;
- offer advice on matters referred to it by the Minister, or as a result of its own deliberations, or in response to requests from the university community or external agencies.

A sunset review of the Council is conducted periodically. A recent review recommended that the university community be represented on the Council, but that a majority be community-at-large members reflecting the economic, social, regional, ethnic and linguistic makeup of the population. Through recent cycles of appointments, conscious efforts have been made to represent the following groups: students, parents, staff, faculty and boards; different academic disciplinary traditions; the school system; business and labour; cities and regions; women, visible minorities, francophones and native people.

On September 21, 1994, following its current sunset review, Cabinet approved an Order-in-Council continuing the Ontario Council on University Affairs for a further five years, until September 30, 1999.

WHAT DOES THE COUNCIL DO?

Through its advice to the Minister responsible for universities, Council:

- **acts as an intermediary** between the autonomous institutions and the provincial government to promote system-wide development;
- **advises on** such matters as the Minister might, from time to time, request;
- **recommends on funding** of universities and the allocation of operating funds between institutions and among funding programs;
- **regulates support of university academic programs** by providing advice on which undergraduate professional, quasi-professional, special and graduate programs should be approved for funding purposes;
- **serves as an agency for public education** by bringing policy issues pertaining to universities to the attention of government.

Academic Advisory Committee

Associated with Council is a seven-member Academic Advisory Committee, appointed by Order-in-Council and consisting entirely of distinguished academics, who make recommendations to OCUA and the Minister of Education and Training on the suitability of funding new undergraduate professional, quasi-professional, special and graduate programs.

February, 1995

MEMBERS AND OFFICERS OF THE ONTARIO COUNCIL ON UNIVERSITY AFFAIRS, 1994-95

Dr. Hashim Ahmed
(1995) Mississauga

Dr. George Bancroft
(1998) Willowdale

Mr. Alan Broadbent
(1996) Toronto

Ms. Moira Burke
(1996) London

Ms. Joanne Cloutier
(1997) Garson

Professor Joy Cohnstaedt*
(1995) Toronto
Chair

Mr. Peter Gallant
(1997) Kingston

Dr. Steve Halperin
(1997) Toronto

Mrs. Evelyn Ruth Ham
(1995) Sudbury

Mr. Tim Jackson
(1997) Toronto

Dr. Judith Knelman
(1995) London

Mr. Gilbert Levine
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(1995) Windsor

Dr. Connie Nelson
(1996) Thunder Bay

Mr. William Owen
(1997) Toronto

Ms. Kate Thorne
(1996) Ottawa

Dr. Jill Vickers
(1997) Ottawa

Dr. Gary Warner
(1997) Hamilton

Rodger Cummins
Senior Policy Advisor
to the Chair

Lisa Feldman
Research Assistant

Diana Royce
Research Officer

Marny Scully
Research Officer

Paul Stenton
Manager, Research and
Policy Analysis

Anna Uppal
Research Officer

(Members' terms expire on last day of February of the year indicated in parentheses)

* August 31, 1995

MEMBERS OF THE ACADEMIC ADVISORY COMMITTEE, 1994-95

Dr. Malcolm Bibby
(March 31, 1995) Ottawa

Dr. Peter E. Egelstaff
(May 31, 1995) Waterloo

Dr. Margaret E. Johnston
(July 31, 1997) Thunder Bay

Dr. Pierre Laberge
(July 31, 1997) Ottawa

Dr. Sandra Olney
(July 31, 1997) Kingston
Chair

Dr. Joseph David Shorthouse
(March 31, 1995) Sudbury

Dr. Carolyn J. Tuohy
(July 31, 1997) Toronto

RESOURCE ALLOCATION

Members of the Task Force on Resource Allocation

Colin Graham (Chair)
Suzanne Fortier
Gordon Wood

In addition to the efforts of Council members, Task Force members and Council staff, the following consultants and researchers contributed to the Review: Stephen Hawkins, Alison Hegarty, Edward DesRosiers, John Earnshaw, Christopher Knapper and Pat Rogers.

INTRODUCTION

INTRODUCTION

The 21st Annual Report of the Ontario Council on University Affairs covers the period of April 1, 1994 to March 31, 1995. The report contains the full text of Council's Advisory Memoranda issued during the year, and the Government response to their recommendations; a list of Council's public meetings; and the discussion paper and the background/technical and contributed papers related to the Resource Allocation Review.

COUNCIL'S ADVISORY MEMORANDA

94-I The Allocation of Government's Operating Support for the University System in 1994-95

1.0 Background

On March 23, 1994, Government announced that for the 1994-95 funding year the total operating grants available for distribution to the university system would be \$1.833 billion.¹ This level of funding reflects the following cuts that had been previously announced.

- \$24 million or 1.2% of operating grants announced in August, 1993 and confirmed in March, 1994.
- The second year phase-in of the Expenditure Control Plan (ECP). The ECP cut will increase by \$13.4 million to \$19.3 million in 1994-95.
- The elimination of the \$9.0 million "one-time-only" funding provided specifically in 1993-94 to continue the phase-in of transition to new corridor funding.

While the global funds available for operating grants to universities have been reduced by 1.8% to \$1.833 billion in 1994-95 (Table 1, Line 1b), the funds available to Council for the 1994-95 allocative advice have been reduced by 2.8% in comparison to the final level of funds which were made available for these purposes in 1993-94. In 1993-94, the final level of funds available for the funding envelopes on which Council provided advice was \$1,803.225 million (Table 1, Line 3).² In 1994-95, \$1,774.909 million has been provided for distribution among the funding envelopes on which Council provides advice.

Part of the reduction in funds available for Council allocation in 1994-95 results from a significant increase in the funds held by the Ministry of Education and Training (MET) for distribution among the special purpose funding envelopes. The monies held by the Ministry include \$49.513 million for the Special Purpose Grants envelope, \$5.182 million to manage previous expenditure deferrals and \$3.773 million for the Faculty Renewal Program.³ The Minister of Education and Training also indicated that, included in the amount reserved for Special Purpose Grants, "is an allowance for a number of changes related to various restructuring projects within the system."⁴

1. Memorandum from the Honourable Dave Cooke, Minister of Education and Training, to Chairs, Board of Governors and Executive Heads of provincially-assisted universities, OCA, OISE, Algoma, Hearst and Dominican, March 23, 1994, p. 2.

2. Council's final allocative advice for 1993-94, which made recommendations on the distribution of the \$110 million Social Contract cut, was provided to the Minister of Education and Training in the form of a letter in place of an advisory memorandum.

Letter from Joy Cohnstaedt, Chair, Ontario Council on University Affairs, to the Honourable Dave Cooke, Minister of Education and Training, Re: Modification to Advisory Memorandum 93-IV: Advice on the Distribution of the Additional \$110.0 million Transfer Payment Reduction for Ontario Universities in 1993-94, dated June 18, 1993.

3. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, April 6, 1994, p. 1.

4. *Ibid.* p. 1.

At \$58,469 million in 1994-95 (Table 1, Line 2e), the Ministry line-items have increased by \$14.6 million or 33.3% in comparison to the \$43,841 million which was set aside for these items in 1993-94. An increase of this magnitude, in a period of declining global operating grants, is a matter of growing concern in the university system. In a period of diminishing resources, increasing levels of special earmarked funds drawn from the base of operating grants limits institutional fiscal flexibility. Council notes that this year's growth in Ministry Special Purpose Grants would be more than sufficient to fund the existing commitment to general accessibility, that is, to fully fund the 45,600 Transition to New Corridor Basic Income Units (BIUs) at the average rate of funding provided for the 377,555 BIUs in the Base.⁵

Available to Council for allocation in 1994-95, therefore, is \$1,774,409 million (Table 1, Line 3). These operating funds are to be allocated to the provincially-assisted universities and their affiliated colleges, the Ontario Institute for Studies in Education, the Ontario College of Art and Dominican College.

Government has also announced that Formula Fees for domestic and visa students will increase by 10.0% in 1994-95 and by a further 10.0% in 1995-96. It is estimated that this increase will generate an additional \$48.8 million in Regular Formula Fees in the current fiscal year based on 1993-94 enrolment levels.

2.0 Introduction

The grant distribution recommended by Council for 1994-95 is provided in Table 1. In weighing the alternatives concerning this allocation, Council took into consideration the following factors:

- the general cuts to the funds available;
- the loss of the 1993-94 "one-time-only" \$9 million that was provided specifically for Transition to New Corridor Grants; and
- the question of how to manage transition to new corridor funding balanced against appropriate funding to other envelopes.

Immediately following the receipt of the reference from the Minister for the 1994-95 allocative advice,⁶ the Funding Committee of Council met with the executive heads of institutions to consult on the 1994-95 allocations. Council was told of the desire for stability in the system, given the need to restructure, while Government operating support to the universities declines. Following this meeting, Council also undertook written consultations where it outlined

5. For the 1994-95 funding year, Base BIUs are the average of 1983-84, 1984-85 and 1985-86 eligible BIUs for all institutions with two exceptions. Beginning in the 1990-91 funding year, the Ontario College of Art's Base BIUs were reduced by 83 BIUs with no adjustment to base funding factors. This was a negotiated corridor reduction to OCA's Base BIUs. Commencing in the 1994-95 funding year, the University of Toronto's Base BIUs are being reduced by the undergraduate medical enrolments which were agreed upon in the Undergraduate Medicine Agreement Between The Minister of Education and Training and The Governing Council of the University of Toronto, July, 1993. Therefore, in the 1994-95 funding year, the Base BIUs for the University of Toronto are reduced by 375 BIUs. The system total of Base BIUs for the 1994-95 funding year is therefore 377,555 BIUs.

Council notes that, in 1994-95 dollars, the increment required to fully fund the 45,600 transition to new corridor BIUs, at the same rate as those BIUs in the Base, is \$9.2 million.

6. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, April 6, 1994, p. 1.

some preliminary institutional impacts of four general options for allocating operating grants in 1994-95.⁷

The major issue that was addressed was the treatment of the Transition to New Corridors funding envelope and whether, in the face of declining operating grants available, the phase-in of additional grants to new corridor levels should continue. Under the original plan for phasing-in additional funding for New Corridors, 45,600 Transition BIUs are to be added to Base BIUs over a seven-year period: 37,120 BIUs in 1990-91; 40,650 BIUs in 1991-92; 42,600 BIUs in 1992-93; 43,430 BIUs in 1993-94; 43,950 BIUs in 1994-95 and 45,600 BIUs in 1995-96. Incremental funding was to be provided to ensure that in 1996-97 the rate of funding for Transition BIUs would equal that provided for Base BIUs. 1994-95 is the fifth of the seven-year period for implementation of Transition to New Corridor funding.

Under the corridor funding system, new funds are required in 1994-95 to phase-in the transition to higher enrolment levels (as noted above) and the value of the BIUs funded in this transition. A further complication has been that the \$9.0 million increment in Transition Grants funding in 1993-94 was one-time-only funding and was removed from the total operating grants made available for 1994-95. With a reduction in operating grants of 2.8% for 1994-95, a continuation of the phase-in of funding to new corridor levels would require a redistribution of grants from other funding envelopes.

Not surprisingly, a variety of views were expressed on behalf of the institutions on how Council should proceed. A number of institutions preferred the continuation of the phase-in funded through a redistribution from other envelopes. A roughly equal number of institutions preferred that the phase-in be halted and the \$9.0 million in one-time-only grants be removed exclusively from the Transition Grants envelope. A small number of institutions argued for proportional cuts to all funding envelopes.

Council recommends a middle ground. With the exception of the Enhanced Accessibility for Students with Disabilities funding envelope and the International Graduate Student Differential Fee Waivers funding envelope, all envelopes should be reduced proportionately. Through this approach, Council is recommending that the phase-in of additional funding to the Transition to New Corridors Grants be suspended for 1994-95 while the discount on the BIUs funded in this envelope is held at roughly the same level as 1993-94. Nevertheless, the target transition BIUs funded in 1994-95 increased to 43,950 BIUs from 43,430 target BIUs in 1993-94. This reflects the continued phase-in of the Target Transition BIUs to New Corridor levels. Such adjustments to the phase-in to new corridors have occurred in the past as Council has been faced with inadequate funding increases in any particular year. With this approach, Council has treated the \$9.0 million in one-time-only funding provided in 1993-94 as an across-the-board cut to operating grants rather than targeting the Transition to New Corridors Grants. This reflects the priority Council continues to attach to this envelope.

Council is not, however, making a judgment at this time about the ultimate impact of reduced funding on corridor levels and on any possible modifications to allocation procedures in future years. Instead, this recommendation is made in the context of the current allocative system review being undertaken as part of the Ministerial reference to Council on Resource Allocation.⁸ Council recognizes there is an entitlement which remains unresolved, with respect to the remaining Transition BIUs to be funded to reach new corridors and the equalization of the value of the funding of Transition BIUs to average Base BIUs funding levels. While Council is concerned that there are no additional funds available in 1994-95 for the continuation of the

7. Memoranda from Joy Cohnstaedt, Chair, Ontario Council on University Affairs, to Executive Heads of Ontario Universities, April 8 and April 12, 1994.

8. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 24, 1993.

phase-in as intended in Advisory Memorandum 90-1,⁹ Council did not want to reduce new corridor levels at this time or prejudice or steer the outcome of the resource allocation reference. It felt that the approach chosen should be the most neutral approach possible without impeding the accessibility objectives of Government. It should be noted that Council will be asking the system for their views on the transition to new corridors entitlements. Council also recognizes that there may be other inter-institutional funding equity claims, such as discounted Base BOI/BIU funding and the adequacy of research overhead funding coverage, raised during the review of the funding system.

The suspension of adding incremental funding to this funding envelope does not change the ultimate corridor accountability. The accountability provisions underlying the transition to new corridor levels¹⁰ remain in place.

In Advisory Memorandum 92-XI¹¹, Council reviewed the Extraordinary Grant for Algoma College. It recommended a reduction to this grant in line with the finding that the extraordinary costs this grant is intended to cover had declined. Council extended the agreement on this grant by an additional year to the end of 1993-94. At that time, Algoma met the condition of eliminating its outstanding deficit. Council also recommended a review be undertaken to determine the feasibility of transferring some level of this Extraordinary Grant to the College's base funding through increasing its corridor level. However, Council has decided not to postpone its 1994-95 allocative advice for such a review and will be providing separate advice on this matter in the near future.

In the following sections, Council presents Government with its advice on the distribution of the \$1,774,909 million in three broad categories: enrolment-based formula determined grants, mission-related institution-specific grants, and other operating grants. Of the \$1,774,909 million operating grants available for Council allocation, approximately 95.8% is allocated by Council as enrolment-based formula grants, 2.1% is allocated to mission-related, institution-specific grants, and 2.1% is allocated as other operating grants. There are few restrictions on the use of the grants allocated under this system beyond the requirement that they be spent on operating expenditures. The three funding envelopes, which represent the exception to this, are the Northern Mission Grants, which now have pre- and post-auditing requirements; the Enhanced Accessibility for Students with Disabilities funding envelope; and the International Graduate Student Differential Fee Waivers funding envelope. These three envelopes represent 0.7% of the funds allocated by Council in 1994-95.

Through the Formula Grants funding envelope, each university receives a fixed share of the total of formula operating grants and formula fees as long as its moving-average enrolments remain within a corridor of enrolments, $\pm 3\%$ of Base BIUs (average of 1983-84, 1984-85 and 1985-86). This share is based on historical levels of enrolment. Through the Transition to New Corridor Grants funding envelope, institutions are provided with incremental funding for negotiated incremental enrolment targets above the Base BIUs as a result of the 1989-90 Corridor Negotiations process. The enrolments in transition to new corridors are scheduled to be fully implemented by 1995-96 with full funding to be provided by 1996-97.

9. Ontario Council on University Affairs, "Advisory Memorandum 90-1, Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Corridor Negotiations", Seventeenth Annual Report, 1990-91, pp. 32-34.

10. See Ontario Council on University Affairs, "Advisory Memorandum 90-1, Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Corridor Negotiations", Seventeenth Annual Report, 1990-91, pp. 62-73.

11. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 323-326.

Students in various degree programs generate different funding levels, roughly reflecting the difference in the operating costs of the programs, through the BIU enrolment weighting method. However, once received, institutions are free to allocate these funds independent of how these funds were generated.

A university's share of funding can change in two ways. First, if its enrolment level falls below a predetermined corridor, the university will lose grants. For those enrolments above the corridor, a university normally receives tuition fees only. The university's share can also change if the Government agrees to increase the operating grants available for enrolments above the corridor. Then enrolment growth is undertaken in a planned manner, through individual institutional corridor shifts, resulting in a change to a university's share of funding.

Section 3 contains Council's recommendations for the enrolment-based formula grants known as the Formula Grants funding envelope and the Transition to New Corridors Grants funding envelope. This section also identifies the level of the contingency fund. In 1994-95, the Formula Grants Envelope represents 83.5% of the total operating grants to universities and 86% of the funds allocated by Council. The Transition to New Corridors Grants represent 9.5% of the funds allocated by Council. In Section 4, Council makes recommendations on the distribution of: the Differentiation Grant to Trent University; Northern Ontario Grants (Operations and Mission Grants); the Bilingualism Grants; and the Extraordinary Grant for Algoma College. Council continues to provide advice on the size of the Bilingualism Grant in accordance with the Minister's letter to the Advisory Committee on Francophone Affairs (ACFA) [the Franco-Ontarian Education and Training Council has assumed former ACFA responsibilities]:

...Ontario Council on University Affairs will be advising, on an annual basis, on the amount of the total envelope within the process of apportioning special grants and basic grants.¹²

In Section 5, Council makes recommendations on the allocation of the Research Overheads/Infrastructure Funding Envelope; the International Graduate Student Differential Fee Waivers; and Enhanced Accessibility for Students with Disabilities Funding Envelope.

At the end of this document, Council provides two tables. Table 2 summarizes Council's recommendations on grants by institution and Table 3 summarizes the distribution of Basic Operating Income (BOI).

3.0 Enrolment-Based Formula Grants

3.1 Formula Grants Funding Envelope

Of the \$1,833,378 million in operating grants available for 1994-95, \$58.5 million has been previously targeted for particular purposes by Government. Council has \$1,774,909 million to recommend on. From the amount available for Council recommendations, \$500,000 is set aside in 1994-95 as a contingency provision.

The contingency fund is identified annually in Council's allocative advice to Government for the purpose of meeting potential exigencies. Examples include the additional Formula Grants required for any retroactive BIU adjustments and meeting any other institutional financial needs deemed appropriate for funding by the Minister. Any unused funds in the contingency fund are added to Formula Grants at the end of the fiscal year.

12. Letter from the Honourable Richard Allen, Minister of Colleges and Universities, to Dr. Dyane Adam, Chair, ACFA, January 9, 1992, p. 1.

For 1994-95, Council recommends that \$1,530.825 million be allocated according to the Formula Grants methodology as recommended in Advisory Memorandum 86-VII.¹³ This represents a 1.6% decrease in comparison to the Formula Grants allocated by Council in 1993-94 and a 1.8% decrease in comparison to the funds finally allocated to this envelope by the Ministry in 1993-94.¹⁴

The level of moving-average enrolments at two institutions (Hearst College and the Ontario College of Art (OCA)) is now below the floor of its corridor. Hearst's moving-average BIUs (five years ending in 1993-94) are 3.3 BIUs below its corridor floor. Applying the formula results in a loss of \$72,333 in Formula Grants in 1994-95 for Hearst College. Under the formula provisions, when an institution falls below its corridor, it can be funded by its moving-average enrolments and lose Formula Grant income, or negotiate with Council a corridor reduction which may or may not cushion the institution from income loss.

To date, Hearst College has not indicated a desire to negotiate a corridor reduction. Nevertheless, following formula provisions and, similar to the opportunity which was extended to OCA, Hearst College has the opportunity to approach Council in the matter of negotiating a corridor reduction. If requested by Hearst, Council is willing to undertake such discussions for the 1994-95 funding year. The outcome of such a negotiation may or may not cushion the grant loss for Hearst. In the event, however, that additional funding is required, Council recommends that it be provided for from the contingency funds identified above.

At first glance, a Formula Grant cut of \$72,333 related to this institution falling below its corridor appears anomalous and disproportionate to the 3.3 BIUs lost. The decline, however, is explained by a shift in the program mix and fees in comparison to the base period (average of 1983-84 to 1985-86). This resulted in a significant change in the average BIU weight per FTE student and a consequent shift in the proportion of BOI accounted for by fees at the College. Hearst's average enrolment weight (BIU/FTE) has fallen from 1.5 in the base period to 1.28 in 1993-94. At the same time, the average fee per BIU has increased from \$1,313 in the base period to \$1,561 in 1993-94 (all rates calculated at 1994-95 rates). As a result of these changes, the College is now generating significantly higher fees in relation to the base period.

Prior to 1994-95, OCA was the only other institution to have fallen below its corridor. In 1990-91, OCA negotiated a reduction of 83 BIUs to its corridor of 2,583 Base BIUs (average of 1983-84, 1984-85 and 1985-86 BIUs). With that reduction, OCA received special consideration beyond normal entitlements associated with an institution's moving-average falling below its Current Base BIU level since there was no corresponding funding loss to the 83 BIU-reduction.¹⁵ This was granted as an extraordinary and temporary corridor reduction for a five-year period ending in the 1994-95 funding year.

Despite the 1990-91 negotiated reduction to OCA's corridor, OCA fell below its negotiated lower corridor in the 1993-94 funding year. Consistent with the formula's operation, OCA is now being funded according to its moving-average BIUs, but in a manner which maintains the funding cushion which was afforded to the College beginning in 1990-91. It is important to note that this arrangement lasts until the conclusion of the 1994-95 funding year.

13. See Ontario Council on University Affairs, "Advisory Memorandum 86-VII, Modification of the Operating Grants Formula." *Thirteenth Annual Report, 1986-87*, pp. 161-170, for a description of the formula to distribute Formula Grants.

14. At 1993-94 fiscal year-end, the Ministry of Education and Training allocated an addition of \$2.98 million in unexpended funds that had previously been designated as Special Purpose Grants to the Formula Grants funding envelope.

15. The funding cushion afforded to OCA is approximately \$300,000 in 1994-95 dollars.

In the 1994-95 funding year, OCA will lose approximately \$93,600 in Formula Grants as a result of being 22.2 BIUs below its reduced corridor.

The method followed by Council for calculating an institution's moving-average BOI, fees and grant is that which is set out in Advisory Memorandum 86-VII¹⁶ and agreed to by Government. The only adjustment required for OCA is to the moving-average fees. That adjustment is equivalent to the percentage reduction that the 83 BIUs represent of the reduced corridor of 2,500 BIUs (3.35%). Therefore, in addition to the 3% of Base Formula Fees by which the moving-average fees are increased as set out in Advisory Memorandum 86-VII, an addition of 3.35% of Base Formula Fees is made to the moving-average fees for OCA.¹⁷

The 1994-95 Formula Grants allocation outlined in Table 2 also reflects the reduction to the University of Toronto's medical enrolments according to the Undergraduate Medicine Agreement Between The Minister of Education and Training and The Governing Council of the University of Toronto.¹⁸ Some details of the Special Purpose Grant allocation for 1994-95 are set out in Table B of the letter from the Minister to Council requesting the 1994-95 allocative advice. In Table B, an estimate in the amount of \$1.9158 million for the University of Toronto Medical School Research Grant was included in the \$49.513 million in Special Purpose Grants for 1994-95.¹⁹ This Research Grant is estimated on the basis of a 1994-95 strategic corridor reduction to this institution's undergraduate medicine enrolments. In Table 2, the University of Toronto's 1994-95 Base BOI, Base Formula Fees and Formula Grants have been reduced as a strategic corridor reduction according to the phase-in of the BIU reductions set out in the

16. Ontario Council on University Affairs. "Advisory Memorandum 86-VII, Modification of the Operating Grants Formula". Thirteenth Annual Report, 1986-87.

17. The calculations of moving-average BOI, moving-average Fees and moving-average Grants as set out in Advisory Memorandum 86-VII are as follows when:

moving-average BIUs < 0.97 Base BIUs, then:

$$\begin{aligned} \text{BOI} &= \text{moving-average BOI} \\ &= \text{Base BOI} \times \frac{(\text{moving-average BIUs} + .03 \text{ Base BIUs [2,500 for OCA]})}{\text{Base BIUs [2,500 for OCA]}} \\ \text{and, Fees} &= \text{moving-average Fees} \\ &= (\text{moving-average Formula Fees} + 0.03 \text{ Base Formula Fees}) \end{aligned}$$

the only adjustment to the calculation of moving-average Fees for OCA while it is being funded at the lower corridor of 2,500 BIUs with no adjustment to base factors is + .0335 Base Formula Fees, where .0335 equals 83.759/2500

$$\begin{aligned} \text{and, Grants} &= \text{moving-average Grants} \\ &= \text{moving-average BOI} - \text{moving-average Fees} \end{aligned}$$

18. Undergraduate Medicine Agreement Between The Minister of Education and Training and The Governing Council of the University of Toronto. July, 1993.

19. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, April 6, 1994.

According to MET officials, the 1994-95 Special Purpose Grant to the University of Toronto, in the sum of \$562,500, to offset costs in the undergraduate medical program which would have been met by foregone fee revenue and to meet some of the costs incurred by the University in restructuring the undergraduate medical program as a result of the enrolment reductions, is captured within the \$12.215 million which was set aside in Table B of the Minister's letter for Other Specific Institutional Grants.

undergraduate medicine agreement (375 BIUs in 1994-95). The method for calculating this strategic corridor reduction is set out in the following steps.

1. **Level of Strategic Corridor Reduction:** Identify the number of BIUs to be reduced (in the case of the University of Toronto, for the 1994-95 funding year, it is 375 BIUs).
2. **Calculation of Initial Base BOI/BIU for the Strategic Corridor Institution:** The initial Base BOI (Base Formula Fees plus the total grants allocated to the Formula Grants envelope) is distributed among institutions on the basis of the fixed shares of Base BOI prior to foreign fee adjustments. Institutional Base BOI/BIU is calculated by taking institutional Base BOI and dividing by the institution's Base BIUs.
3. **Initial Strategic Corridor BOI Reduction:** The resulting institutional Base BOI per Base BIU for the institution, with the strategic corridor reduction, is multiplied by the strategic corridor BIUs to be removed to generate the strategic corridor BOI reduction.
4. **Adjustments to Institutional Shares of BOI:** Institutional shares of Base BOI are adjusted by the following calculation. For each institution, take the initial Base BOI and subtract the strategic corridor BOI reduction. Based on the sum of these BOIs new institutional BOI shares are determined, which result in a reduced share for the strategic corridor institution and increased shares for all of the other institutions.
5. **Strategic Corridor Base Formula Fee Reduction:** The strategic corridor institution's Base Formula Fees are reduced by the FTEs associated with the strategic corridor BIU reduction multiplied by the standard formula fees associated with these FTEs. (In the case of the University of Toronto, for 1994-95, this amount is \$188,100.)
6. **Final Base BOI Calculation:** System Base BOI now totals the Formula Grants, plus reduced fees from Step 5, and is distributed among institutions according to BOI shares from Step 4.
7. **Final Formula Grants:** The final Formula Grants are the residual of final Base BOI as set out in Step 6 and Base Formula Fees, with Base Formula Fees for the strategic corridor institution as set out in Step 5 above. (In the case of the University of Toronto, the resulting Formula Grant reduction is \$1.429 million in 1994-95. However, it is important to note that if the \$1.9158 million, which was set out as a Special Purpose Grant, was included in the 1994-95 allocation of Formula Grants, the BOI reduction for the strategic corridor institution would be proportionately higher and result in a grant reduction roughly equivalent to the 1994-95 Special Purpose Grant estimated in the amount of \$1.9158 million.

Finally, the institutional allocations of Formula Grants found in Table 2 also reflect the adjustment to the 10 institutions with Faculties of Education, where the Formula Fees for Additional Qualifications courses are adjusted in the manner outlined in Advisory Memorandum

93-VIII.²⁰ The fee adjustment, which was recommended in that advice to the 10 universities with Faculties of Education, is inflated to reflect the 10.0% increase to Formula Fees in 1994-95.

The results of the Formula Grant calculations are found in the first column of grants contained in Table 2. Table 3 details Base BOI, Transition BOI and Total Grants recommended plus slip-year Formula Fees for 1994-95 and the changes in relation to 1993-94.

Accordingly, Council *recommends to the Minister:*

OCUA 94-1

FORMULA GRANT ALLOCATION FOR 1994-95

THAT \$1,530,825 million in Formula Grants be made available in 1994-95 to the provincially-assisted universities and their affiliated colleges, the Ontario Institute for Studies in Education, the Ontario College of Art and Dominican College according to the operating grants formula outlined in Advisory Memorandum 86-VII resulting in the initial allocation indicated in Table 2.

3.2 Transition to New Corridors Grants Funding Envelope

In developing its recommendation for the allocation of the Transition to New Corridors Grants envelope, Council has taken into consideration the institutional responses to Council's request for input on the allocation of the 1994-95 operating grants. As noted in the introduction, institutions were split as to the appropriate approach to dealing with this envelope for 1994-95. Some institutions advised Council to proceed with the phase-in of Transition to New Corridor Grants, while a roughly equal number of institutions advised Council to suspend the phase-in and remove the \$9.0 million one-time-only funding that was provided in 1993-94 from this funding envelope.

With the exception of the Enhanced Accessibility for Students with Disabilities and the International Graduate Student Differential Fee Waivers envelopes, Council has instead taken a middle ground by reducing all envelopes proportionately. Through this recommendation, Council has suspended the phase-in of additional funding, but has continued to phase-in the target transition BIUs. By doing this, Council has not targeted the one-time-only \$9.0 million reduction to the Transition Grants envelope. As noted above, this reflects the priority that Council continues to attach to this envelope. Through this approach, Council is also not making a judgment as to the ultimate impact of reduced funding on corridor levels and possible modifications to allocation procedures in future years.

Council has had to adjust the phase-in of the new corridor levels in previous years to reflect funding shortfalls. For example, in its 1992-93 allocative advice, Council determined that the \$21.5 million Transition Grant increase required according to the methodology of slip-year BOI/BIU applied to that year's phase-in of transition BIUs was too large to be accommodated with the funds available for allocation in that year.²¹

20. Ontario Council on University Affairs, Advisory Memorandum 93-VIII, The Removal of \$58.5 Million from Ontario Institutions Funded Through University Operating Grants and the Funding Eligibility of Additional Qualifications Courses for In-Service Elementary and Secondary School Teachers.

This advice was accepted in a letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, February 8, 1994.

21. Ontario Council on University Affairs, "Advisory Memorandum 91-XII, The Allocation of the Government's Operating Support for 1992-93", Eighteenth Annual Report, 1991-92, p. 24.

The funds, recommended as Transition Grants in 1994-95, continue the phase-in of target transition BIUs but maintain the discount on the value of Transition BIUs in relation to the average Base BIU value at the 1993-94 level of 94%. The funds are allocated according to the "growing" moving-average BIUs of each institution receiving a corridor shift (i.e., the difference between the new moving-average BIUs and current Base BIUs), or the new institutional corridor level. For the 1994-95 funding year, the growing moving-average comprises the five years ending 1993-94. In instances where an institution's moving-average BIUs exceed its New Corridor mid-point BIUs, the institution is funded according to its New Corridor mid-point BIUs rather than its moving-average BIUs.

Accordingly, Council *recommends to the Minister:*

OCUA 94-2

CORRIDOR SHIFT FUNDING FOR 1994-95

THAT \$169.112 million in Transition Grants be made available in 1994-95 to support upward corridor shifts according to that recommended in Advisory Memorandum 90-1, resulting in the initial allocation indicated in Table 2.

4.0 Mission-Related, Institution-Specific Funding Envelopes

4.1 Differentiation Grant

Council's Advisory Memorandum 80-VI established Differentiation Grants as a new category of funding intended to assist institutions which accept a clearly differentiated role by demonstrating their intention to pursue their academic strengths efficiently and effectively and require additional support to do so.²² Trent University is the only institution to have received a Differentiation Grant.

In 1989, Council initiated a thorough study to identify and estimate the incremental cost of Trent's differentiation. The results are outlined in Advisory Memorandum 89-IV, Trent University Differentiation Grant Review.²³ Based on the findings of Council's study, it recommended that the level of the Differentiation Grant should reflect the annual change in Formula Grants. In accordance with that advice, Council recommends that the level of the Differentiation Grant be decreased to \$1.629 million in 1994-95.

Accordingly, Council *recommends to the Minister:*

OCUA 94-3

DIFFERENTIATION GRANT FOR TRENT UNIVERSITY 1994-95

THAT a Differentiation Grant of \$1.629,000 be made to Trent University in 1994-95.

Council also notes that in Advisory Memorandum 89-IV, it recommended that "...the grant level should be reviewed in four to six years, after Trent receives and reaches a new

22. Ontario Council on University Affairs, "Advisory Memorandum 80-VI, The Allocation of the Government's Operating Support for the University System in 1981-82", Seventh Annual Report, 1980-81, pp. 131-132.

23. Ontario Council on University Affairs, "Advisory Memorandum 89-IV, Trent University Differentiation Grant Review", Sixteenth Annual Report, 1989-90, pp. 141-146.

corridor level and its new capital facilities have come on stream." Trent was afforded the protection of its new corridor in fiscal 1993-94 and the capital facilities referred to in Advisory Memorandum 89-IV, the Environmental Science building, are in place. Council recommends that a review of the Differentiation Grant be postponed until after completion of the resource allocation reference.

4.2 Northern Ontario Grants

In Advisory Memorandum 88-III, Northern Ontario Grants Review,²⁴ Council reviewed the calculation of the Northern Ontario Grants. The review confirmed the existing funding procedures and identified two types of grants which would continue for Northern institutions:

- Northern Ontario Operations Grants to provide for the costs of operating "in the North"; and
- Northern Ontario Mission Grants to provide for the costs of "for the North" services.

In 1993-94, after four years of experience, Council undertook a review of this envelope. The results of Council's findings and its recommendations were set out in Council's initial allocative advice for 1993-94, Advisory Memorandum 92-XI.²⁵

Council notes that the Minister accepted its advice with respect to Northern Ontario Mission Grants with the proviso that the Ministry would "...perform both the pre- and post-fiscal year approval and monitoring process, according to the guidelines proposed by OCUA." The Minister also stated:

Funds will not be flowed from this envelope prior to project approvals in future years, unless the institutions have instituted adequate separate fund accounting procedures by the end of 1993-94.²⁶

4.2.1 Northern Ontario Operations Grants

The findings of Council's Northern Ontario Grants review in 1988 generally confirmed the grant levels generated by the "mini-formulae" as outlined in Advisory Memorandum 88-III which estimated the incremental costs of institutions operating in the North. The formula was modified slightly in Advisory Memorandum 88-III to recognize the impact of the corridor funding system. Council's advice also identified five cost factors that were judged to have incremental costs associated with operating in Northern Ontario, which were measurable and therefore captured "in the North" costs. These included costs associated with:

- (a) the need to offer a reasonable range of programs to a large geographic area ...;
- (b) purchasing goods and services in the North;
- (c) utilities;

24. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89.

25. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 319-323.

26. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 3.

- (d) travel; and
- (e) Laurentian University's affiliation with Algoma, Nipissing and Hearst colleges.²⁷

Pursuant to the recommendations contained in Advisory Memorandum 88-III, the values of the Northern Ontario Operations Grants for each of the institutions fully reflected the "mini-formulae" up to and including the 1991-92 fiscal year.

In 1992-93, the "mini-formulae" were adjusted as a result of the low overall operating grant increase made available in that year. Council recommended an adjustment to the "mini-formulae" that resulted in a grant dollar increment equal to approximately half the increment that would have been the outcome of the "mini-formulae".²⁸ For 1993-94, given the decline in funds available to be allocated among grants on which it advised, Council recommended a reduction to this envelope in 1993-94 consistent with the overall reduction in funds available for allocation to this and other funding envelopes. For 1994-95, given the further decline in the funds available for Council allocation, it recommends that this envelope should reflect the 1.8% decline in the Formula Grants envelope in 1994-95.

Accordingly, Council *recommends to the Minister:*

OCUA 94-4

NORTHERN ONTARIO OPERATIONS GRANTS 1994-95

THAT \$7.771 million in Northern Ontario Operations Grants be made available in 1994-95 in the following amounts:

Lakehead	\$3,288,000
Laurentian	3,172,000
Algoma	252,000
Laurentian (Algoma)	77,000
Hearst	215,000
Nipissing	767,000

4.2.2 Northern Ontario Mission Grants

The existing allocation and eligible expenditures associated with the Northern Ontario Mission Grants were established in Advisory Memorandum 88-III. In that advice, Council identified "for the North" costs to include:

- (a) costs associated with activities such as developing and operating Northern research centres;
- (b) providing educational initiatives and access to remote communities and special segments of the population; and
- (c) developing and offering special programs which meet regional needs ...²⁹

27. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89, pp. 57.

28. Ontario Council on University Affairs, "Advisory Memorandum 91-XII, The Allocation of the Government's Operating Support for the University System in 1992-93", Eighteenth Annual Report, 1991-92, p. 280.

29. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89, p. 63.

Council also stated that activities funded through this grant could include:

- new activities as defined above;
- Northern Ontario mission-related activities that have been started since the introduction of this grant in 1987-88; and
- Northern Ontario mission-related activities supported by funding from other sources where such funding is no longer available.³⁰

The distribution mechanism and accountability for this envelope were defined by Council as follows:

...the special Northern Ontario grant for activities "for the North" should be divided among the institutions by using the same proportions as calculated for the Northern Ontario Operations grants. While not requiring a competitive challenge fund for distribution, these grants should not be considered block grants to be used for normal operating expenditures. The planned and actual expenditure of these grants should be monitored to ensure that these funds are used for mission-related activities.³¹

Council indicated in Advisory Memorandum 87-XIII³² that before reviewing the amount of the grant available for Northern Ontario Mission activities it was important for institutions to demonstrate the value and effectiveness of the projects undertaken in meeting the mission of being institutions "for the North".

Council recommended in Advisory Memorandum 91-XII³³ that the Northern Ontario Mission Grants envelope be reviewed in 1992-93. The Minister concurred and Council conducted its review in that year. Council's findings, as a result of this review, are contained in Advisory Memorandum 92-XI, "The Allocation of Government's Operating Support for the University System in 1993-94".³⁴

In summary, Council recommended that the practice of Lakehead University and Laurentian University, whereby these institutions have established separate and specific procedures to account for funds that are expended under the terms of this envelope, also be adopted by Northern institutions which have not yet established separate and specific accounting for these funds. Council also refined the definition of eligible expenditure to better ensure that these funds are being spent for Northern mission-related activities. Council recommended the definition of eligible expenditures exclude:

30. Ibid.

31. Ibid. pp. 63-64.

32. Ontario Council on University Affairs, "Advisory Memorandum 87-XIII, The Allocation of the Government's Operating Support for the University System in 1988-89", Fourteenth Annual Report, 1987-88, p. 174.

33. Ontario Council on University Affairs "Advisory Memorandum 91-XII, The Allocation of the Government's Operating Support to the Universities in 1992-93", Eighteenth Annual Report, 1991-92.

34. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 319 - 322.

- all activities that could be eligible for funding under the Off-Campus Grant Envelope which is administered by the Ministry;
- practice teaching and related costs normally provided for through the weight of 2 that is allocated to teacher education;
- all off-campus activities not directly related to the Northern Mission teaching and research functions of the university or college;
- sabbaticals; and
- library expenditures not directly related to activities that are unique to Northern Ontario Mission Grants.

The Minister accepted Council's recommendations.³⁵

In line with the overall decline in funds available, Council recommends reducing the Northern Ontario Mission Grants to reflect the same rate of decline as the Formula Grants funding envelope and that these grants be distributed in the same proportions as determined for the Northern Operations Grants.

Accordingly, Council *recommends to the Minister:*

OCUA 94-5

NORTHERN ONTARIO MISSION GRANTS 1994-95

THAT for 1994-95, Northern Ontario Mission Grants of \$2,732,000 be made in the following amounts:

Lakehead	\$1,156,000
Laurentian	1,115,000
Algoma	89,000
Laurentian (Algoma)	27,000
Hearst	75,000
Nipissing	270,000

4.3 Bilingualism Grants

Bilingualism Grants are provided to bilingual universities in Ontario in recognition that ongoing bilingual universities incur costs in excess of the normal operating costs for comparable size unilingual universities in the following areas:

- a) supplementary course offerings;
- b) second language training;
- c) library operations;
- d) translation services;
- e) publishing, printing, stationery and supplies;
- f) administrative staff; and
- g) computer services.

35. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 3.

In Advisory Memorandum 89-III, Council reported on the results of the study of incremental costs associated with bilingualism in Ontario universities.³⁶ Based on 1987-88 data, the study indicated that the total cost of bilingualism activities was \$21.221 million in that year. In Advisory Memoranda 89-VI³⁷ and 90-IV³⁸, Council recommended that additional funding be provided to fund the estimated shortfall in Bilingualism Grants. In 1991-92, Council was requested to consider the funding shortfall in determining an appropriate level for these Grants in that year. The \$25.7 million that Council recommended in 1991-92 eliminated then existing shortfalls by providing for the full estimated incremental costs of operating bilingual programs.

Council recommends \$23.630 million be made available for allocation in 1994-95, which represents an allocation level 1.8% lower than the 1993-94 level, consistent with the decline in the Formula Grants Envelope. Council further recommends that it be allocated according to the incidence of incremental bilingualism costs as identified in Advisory Memorandum 89-III.

Accordingly, Council *recommends to the Minister:*

OCUA 94-6

BILINGUALISM GRANTS 1994-95

THAT \$23.630 million in Bilingualism Grants be made available in 1994-95 in the following amounts:

Laurentian University	4,032,000
Sudbury (Laurentian University)	216,000
Hearst College	155,000
University of Ottawa	15,584,000
St. Paul (University of Ottawa)	1,619,000
Glendon (York University)	2,024,000

4.4 Extraordinary Grant for Algoma College

In Advisory Memorandum 88-VIII, Council recommended that Algoma College receive an Extraordinary Operating Grant to help address the apparent "structural" deficit of the College.³⁹ For 1989-90, Council recommended, in Advisory Memorandum 89-III, that an Extraordinary Grant of \$760,000 be provided to Algoma College to address the College's estimated structural imbalances.⁴⁰ In addition, a cost study was undertaken in 1990 to determine how closely the Extraordinary Grant reflected Algoma's true structural deficit. The findings of

36. Ontario Council on University Affairs, "Advisory Memorandum 89-III, The Allocation of the Government's Operating Support for the University System in 1989-90", Sixteenth Annual Report, 1989-90, pp. 128-130.

37. Ontario Council on University Affairs, "Advisory Memorandum 89-VI, Government Support of the University System in 1990-91", Sixteenth Annual Report, 1989-90, p. 189.

38. Ontario Council on University Affairs, "Advisory Memorandum 90-IV, Government Support of the University System in 1991-92", Seventeenth Annual Report, 1990-91, pp. 135-136.

39. Ontario Council on University Affairs, "Advisory Memorandum 88-VIII, Mission, Programs and Funding for Algoma College", Fifteenth Annual Report, 1988-89, pp. 125-126.

40. Ontario Council on University Affairs, "Advisory Memorandum 89-III, The Allocation of the Government's Operating Support for the University System in 1989-90", Sixteenth Annual Report, 1989-90, p. 131.

that cost review were reported in Advisory Memorandum 90-VII. In the review, Council found the original grant level of \$760,000 to closely approximate the College's scale-related extraordinary costs. Council concluded that the College's Extraordinary Grant be held constant at \$760,000 for the 1990-91, 1991-92 and 1992-93 funding years. Council also recommended that the appropriateness of the level of the Extraordinary Grant, and the supporting confirmatory methodology, be re-examined prior to determining funding needs beyond 1992-93.

Council's findings, with respect to the review of the Algoma Extraordinary Grant which it recommended in Advisory Memorandum 90-VII, are set out in Advisory Memorandum 92-XI.⁴¹ In this review of the Algoma Extraordinary Grant, Council found the College's enrolments had grown to a more viable size since the 1990 review and, on that basis, extraordinary costs had declined by approximately \$54,000.⁴² Therefore, Council initially recommended that the Extraordinary Grant to Algoma College be reduced by \$54,000 to a level of \$706,000 for 1993-94, and in doing so, Council extended the agreement on this grant by one additional year to the end of 1993-94. Subsequent to Council's initial 1993-94 allocative advice, it was asked to recommend on two additional cuts. The application of these general cuts to the Extraordinary Grant resulted in a 1993-94 final allocation of \$665,000. In line with the reduction in funds available for distribution among the funding envelopes, Council recommends that the Algoma Extraordinary Grant reflect the 1.8% reduction to the Formula Grants funding envelope and that \$653,000 be made available in 1994-95 for the Extraordinary Grant.

Council also recommended, in Advisory Memorandum 92-XI, that upon being satisfied the cumulative operating deficit had been eliminated, a review be undertaken to determine the feasibility of transferring some level of this Extraordinary Grant to the College's base funding. Council has entered into discussions with Algoma College and will be providing advice on this matter within the next few months.

Accordingly, Council *recommends to the Minister:*

OCUA 94-7

ALGOMA COLLEGE EXTRAORDINARY FUNDING 1994-95

THAT an Extraordinary Grant of \$653,000 be allocated to Algoma College for 1994-95.

5.0 Other Operating Grants

5.1 Research Overheads/Infrastructure Funding Envelope

In Advisory Memorandum 87-XV⁴³, Council reviewed the mechanism used to allocate the Research Overheads/Infrastructure Funding Envelope. It recommended that the envelope be allocated on the basis of each institution's proportionate share of total peer-adjudicated research funding awarded to Ontario universities by the Medical Research Council (MRC), the Natural

41. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 323-326.

42. This estimate results from the application of the formula, used in Advisory Memorandum 90-VII, to confirm the extraordinary instruction costs associated with the College's small scale that are not completely covered by the Northern Operations Grant that it receives.

43. Ontario Council on University Affairs, "Advisory Memorandum 87-XV, Research Overheads/Infrastructure Funding Envelope Allocative Mechanism", Fourteenth Annual Report, 1987-88, pp. 211-222.

Sciences and Engineering Research Council (NSERC) and the Social Sciences and Humanities Research Council (SSHRC), calculated annually using a three-year moving-average.

Council recommends \$27.839 million be made available in 1994-95 for this envelope, which reflects the same rate of decrease for the Formula Grants funding envelope. These grants are allocated according to each institution's share of the three major federal granting councils' peer-adjudicated research grants for 1990-91, 1991-92 and 1992-93.

Accordingly, Council *recommends to the Minister:*

OCUA 94-8

*RESEARCH OVERHEADS/INFRASTRUCTURE FUNDING GRANTS
1994-95*

THAT \$27.839 million in Research Overheads/Infrastructure Funding Grants be made available in 1994-95 according to the amounts indicated in Table 2.

5.2 International Graduate Student Differential Fee Waivers

Council is concerned with the impact of the 1994-95 ten percent increase in international graduate student fees on the access of international students to Ontario graduate programs. For 1994-95, an international graduate student in all programs other than Theology will be paying \$4,546 per term (regular plus additional), or \$13,638 for three terms.

Council outlined its advice on procedures for allocating Government's contribution to international graduate student Differential Fee Waivers in Advisory Memorandum 88-V.⁴⁴ This advice confirmed the existing practice where waivers were allocated among Ontario universities according to each institution's slip-year three-year average of full-time graduate student enrolment, subject to a minimum of not less than three waivers for any institution with graduate enrolment.

Council notes that the discount on the fee waiver has increased during the past few years. For example, in 1991-92, when the value of the fee waivers was frozen at the 1990-91 level while formula fee rates were increased by 8%, this resulted in a smaller proportion of these fees being covered by the waiver. Since then, the change in the level of waivers has reflected the change in the Formula Grants funding envelope, while fees have increased by a much higher rate. In 1990-91, the fee waiver provided for 56.7% of the three-term fees (regular plus additional) for an international graduate student.⁴⁵ By 1993-94, this coverage had shrunk to 43%.

Council notes that the overall reduction in grants available in 1994-95, combined with the fee increase, will again have a significantly adverse effect on the coverage provided by the fee waiver and will require universities to fund a further increased share of the waiver themselves from diminished resources. Council recommends that this envelope be protected from further cuts this year and maintained at its 1993-94 level of \$5.326 million. Even with this protection, the share of fees covered will fall to about 39%. Given the deterioration in the waiver coverage, Council further recommends that a review be undertaken to determine an appropriate level of waiver in the future.

For 1994-95, Council notes that Government has made available 1,000 international graduate student Differential Fee Waivers. Council recommends that these be funded at a rate

44. Ontario Council on University Affairs, "Advisory Memorandum 88-V, International Graduate Student Differential Fee Waivers", Fifteenth Annual Report, 1988-89, pp. 85-89.

45. Ministry of Colleges and Universities, The Ontario Operating Funds Distribution Manual, 1990-91 Fiscal Year, Appendix 5.1.3, January 30, 1991.

of \$5,326 per Waiver in 1994-95. It also recommends that these grants be allocated according to the procedures outlined in Advisory Memorandum 88-V.

Accordingly, Council *recommends to the Minister:*

OCUA 94-9

*INTERNATIONAL GRADUATE STUDENT DIFFERENTIAL FEE
WAIVER SUPPORT 1994-95*

THAT \$5.326 million in International Graduate Student Differential Fee Waiver Grants be made available in 1994-95 according to the amounts indicated in Table 2.

5.3 **Enhanced Accessibility for Students with Disabilities Funding Envelope**

On April 20, 1988, the Minister of Colleges and Universities requested "Council's early advice on programs to promote access for the underrepresented groups", and announced that \$4.0 million from the Accessibility Envelope would be set aside for that purpose.⁴⁶ In Advisory Memorandum 88-IX, Council stated that the \$4.0 million should be made available to enhance access for disabled students.⁴⁷ Council recommended in that Memorandum that the allocation be annual and ongoing, based on each institution's share of Base BIUs subject to a funding floor provision.

In its 1992-93 allocative advice, Council recommended a review of this envelope to evaluate the effectiveness of the current distribution mechanism.⁴⁸ The Minister concurred with that advice and Council completed a review of this envelope in 1993.⁴⁹ Council recommended that the distribution mechanism be changed from Base BIUs to a three-year moving-average of eligible FTEs slipped one year for a two-year period while it conducts a review to "determine the feasibility of basing the distribution mechanism in some manner on the numbers of and/or services to students with disabilities."⁵⁰ The Minister accepted Council's advice and asked it to proceed with the recommended review of this funding envelope.⁵¹

Council recommends that for 1994-95 the level of the Enhanced Accessibility for Students with Disabilities Funding Envelope be maintained at 1993-94 level, consistent with the priority that Council attaches to this funding envelope.

46. Letter from the Honourable Lyn McLeod, Minister of Colleges and Universities, to Dr. P. Fox, Chairman, Ontario Council on University Affairs, April 20, 1988.

47. Ontario Council on University Affairs, "Advisory Memorandum 88-IX, Enhancing Access for Disabled Students to Ontario Universities", Fifteenth Annual Report, 1988-89, pp. 129-141.

48. Ontario Council on University Affairs, "Advisory Memorandum 91-XII, The Allocation of the Government's Operating Support for 1992-93", Eighteenth Annual Report, 1991-92, p. 287.

49. Ontario Council on University Affairs, Advisory Memorandum 93-III, Review of the Distribution Mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope.

50. Ontario Council on University Affairs, Advisory Memorandum 93-III, Review of the Distribution Mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope, p. 2.

51. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 3.

Accordingly, Council *recommends to the Minister:*

OCUA 94-10

*ALLOCATION OF ENHANCED ACCESSIBILITY FOR STUDENTS WITH
DISABILITIES FUNDING ENVELOPE 1994-95*

THAT the level of the funding envelope be \$4,892,000.

6.0 Conclusion

Council has recommended proportionate reductions to all funding envelopes with the exception of two, the Enhanced Accessibility for Students with Disabilities and the International Graduate Student Differential Fee Waivers. Council has taken an approach which neither prejudices nor steers the outcome of the Resource Allocation Reference which is currently under way.

Table 2 summarizes the distribution of grants based on the recommendations contained in this Memorandum. It documents, by institution, the Formula Grants, Transition to New Corridor Grants, the Mission-Related, Institution-Specific Grants and the Other Operating Grants recommended by Council for 1994-95, along with the final 1993-94 Ministry allocations to the grants recommended in those categories (including the \$20 million adjustment to the original Social Contract target of \$110 million and including Formula Grants prior to the foreign fee adjustment) and the percentage changes between the two years.

Table 3 summarizes the distribution of BOI. This table details, by institution, both Base BOI and current funding year BOI (1994-95 grants allocated plus slip-year Formula Fees that reflect 1994-95 fee rates), and the percentage changes between 1993-94 and 1994-95.

Joy Cohnstaedt,
Chair

April 15, 1994

GRANTS AVAILABLE FOR ALLOCATION IN 1994-95 IN COMPARISON TO 1993-94 PRELIMINARY AND FINAL ALLOCATIONS

Table 1
(\$'000)

	OCUA Recommendations 1993-94 (Col. A)	Final Ministry Allocations 1993-94 (Col. B)	OCUA Recommendations 1994-95 (Col. C)	Change in Comparison to: 1993-94 Recommended			Change in Comparison to: 1993-94 Final		
				\$ Change	% Change	(Col. D)	\$ Change	% Change	(Col. G)
1. Total Operating Grants	1,847,066.0	1,847,066.0							
a) \$20 Million Adjustment to Social Contract		20,000.0							
b) Sub-Total	1,847,066.0	1,867,066.0	1,833,378.0	(13,688)	-0.7%	(13,688)	(33,688)	-1.8%	
2. Less Ministry of Education & Training Items:									
a) Special Purpose + Expenditure Deferrals	36,216.0	36,216.0	54,695.8	18,480	51.0%	18,480	18,480	51.0%	
b) Faculty Renewal	7,625.0	7,625.0	3,773.2	(3,852)	-50.5%	(3,852)	(3,852)	-50.5%	
c) Internal Ministry Reallocation from Unexpended Special Purpose		(3,209.0)							
d) Reallocation from Unexpended Contingency Fund		500.0							
e) Sub-Total	43,841.0	41,132.0	58,469.0	14,628	33.4%	14,628	17,337	42.1%	
3. Operating Grants Available for Envelopes on which Council Provides Advice									
4. Formula Grants	1,803,225.0	1,825,934.0	1,774,909.2	(28,316)	-1.6%	(28,316)	(51,025)	-2.8%	
5. Transition to New Corridor Grants	1,555,239.0	1,558,219.7	1,530,825.0	(24,414)	-1.6%	(24,414)	(27,395)	-1.8%	
6. Mission-Related Institution-Specific	171,864.0	172,138.0	169,112.0	(2,752)	-1.6%	(2,752)	(3,026)	-1.8%	
a) Northern Operations	7,910.0	7,910.0	7,771.0	(139)	-1.8%	(139)	(139)	-1.8%	
b) Northern Mission	2,781.0	2,781.0	2,732.0	(49)	-1.8%	(49)	(49)	-1.8%	
c) Bilingualism Grants	24,053.0	24,053.0	23,630.0	(423)	-1.8%	(423)	(423)	-1.8%	
d) Differentiation Grant	1,658.0	1,658.0	1,629.0	(29)	-1.8%	(29)	(29)	-1.8%	
e) Algoma Extraordinary	665.0	665.0	653.0	(12)	-1.8%	(12)	(12)	-1.8%	
f) Sub-Total	37,067.0	37,067.0	36,415.0	(652)	-1.8%	(652)	(652)	-1.8%	
7. Other Operating Grants									
a) Research Overheads/Infrastructure Envelope	28,337.0	28,337.0	27,839.0	(498)	-1.8%	(498)	(498)	-1.8%	
b) International Graduate Student Differential Fee Waivers	5,326.0	5,280.7	5,326.0	0	0.0%	0	45	0.9%	
c) Enhanced Accessibility for Students with Disabilities	4,892.0	4,892.0	4,892.0	0	0.0%	0	0	0.0%	
d) Sub-Total	38,555.0	38,509.7	38,057.0	(498)	-1.3%	(498)	(453)	-1.2%	
8. Contingency Funds	500.0		500.0						

Notes:

- The \$20 million adjustment that was made to the initial Social Contract reduction of \$110 million, in 1993-94, was allocated as a separate line item and not allocated to specific funding envelopes.
- According to MET officials, the \$20 million adjustment to Social Contract is included in the 1994-95 global sum available of \$1,833,378,000.
- The final 1993-94 allocation to the International Graduate Student Differential Fee Waivers is less than the preliminary 1993-94 allocation due to the fact that not all of the fee waivers were distributed.
- In Column B, the difference between line 3, or \$1,825,934,000, and the sum of lines 4, 5, 6f and 7d reflects the \$20 million adjustment to Social Contract which was allocated as a separate line item.

Table 3
DISTRIBUTION OF FORMULA GRANTS, BASE BOI, TRANSITION BOI & TOTAL GRANTS RECOMMENDED PLUS SLIP-YEAR FORMULA FEES AT 1993-94 RATES
(\$000)

Institution	FORMULA GRANTS			BASE BOI			TRANSITION BOI			GRANTS & SLIP-YEAR FEES AT CURRENT YEAR RATES			
	Final * 1993-94	Recom mended 1994-95	% Change	Final * 1993-94	Recom mended 1994-95	% Change	Final 1993-94	Recom mended 1994-95	% Change	Final * 1993-94	Recom mended 1994-95	Dollar Change	% Change
Brook	32,077	31,131	-2.9%	42,827	43,174	0.8%	11,724	11,837	1.0%	56,389	56,929	541	1.0%
Carleton	76,755	75,294	-1.9%	99,417	100,222	0.8%	20,713	20,912	1.0%	125,743	126,923	1,180	0.9%
Guelph	94,234	93,041	-1.3%	115,517	116,452	0.8%	8,294	8,374	1.0%	129,684	129,473	(211)	-0.2%
Lakehead	25,252	24,685	-2.2%	33,157	33,425	0.8%	3,331	3,363	1.0%	43,796	44,652	856	2.0%
Laurentian	23,778	23,336	-1.9%	31,885	32,144	0.8%	11,362	11,471	1.0%	53,469	53,362	(108)	-0.2%
Algonia	1,732	1,692	-2.3%	2,322	2,341	0.8%	1,130	1,272	12.6%	4,810	4,819	9	0.2%
Laurentian (Alg)	511	494	-3.3%	733	739	0.8%	212	267	26.2%	1,114	1,169	55	4.9%
Hearst	931	851	-8.6%	1,150	1,138	-1.0%				1,696	1,573	(123)	-7.3%
McMaster	101,985	100,639	-1.3%	125,618	126,635	0.8%	11,836	11,949	1.0%	143,954	144,623	669	0.5%
Nipissing	5,521	5,317	-3.7%	7,449	7,509	0.8%	3,190	3,220	1.0%	12,527	12,581	53	0.4%
Ottawa	116,464	114,753	-1.5%	146,738	147,927	0.8%	21,523	21,730	1.0%	192,063	191,623	(440)	-0.2%
Queen's	106,744	105,399	-1.3%	131,208	132,271	0.8%	18,266	18,441	1.0%	155,809	155,645	(164)	-0.1%
Ryerson	65,510	64,124	-2.1%	86,368	87,067	0.8%	3,793	3,829	1.0%	93,617	94,634	1,017	1.1%
Toronto	339,956	333,900	-1.8%	413,848	415,202	0.3%	27,649	27,914	1.0%	458,208	455,770	(2,438)	-0.5%
Trent	16,989	16,561	-2.5%	23,146	23,334	0.8%	6,591	6,654	1.0%	32,717	32,882	165	0.5%
Waterloo	119,564	117,639	-1.6%	151,055	152,278	0.8%	8,078	8,156	1.0%	165,744	165,261	(483)	-0.3%
Western	158,852	156,040	-1.8%	200,884	202,511	0.8%	6,830	6,895	1.0%	215,520	214,808	(712)	-0.3%
Wilfrid Laurier	31,220	30,486	-2.4%	41,953	42,293	0.8%	7,457	7,528	1.0%	50,771	50,426	(345)	-0.7%
Windsor	64,857	63,621	-1.9%	83,086	83,759	0.8%	7,052	7,119	1.0%	94,871	94,274	(597)	-0.6%
York	144,331	141,177	-2.2%	192,340	193,897	0.8%	41,256	41,652	1.0%	243,783	240,136	(3,647)	-1.5%
OISE	21,293	21,219	-0.3%	23,972	24,166	0.8%	2,107	2,127	1.0%	26,900	26,970	71	0.3%
OCA	9,542	9,315	-2.4%	12,946	13,064	0.9%				12,947	13,007	60	0.5%
Dominican	122	111	-9.0%	246	248	0.8%				325	335	9	2.8%
Total	1,558,220	1,530,825	-1.8%	1,967,866	1,981,795	0.7%	222,394	224,711	1.0%	2,316,459	2,311,876	(4,583)	-0.2%

* prior to foreign fee adjustment

- Notes: 1. 1993-94 Base BOI consists of Final Formula Grants (prior to foreign fee adjustments) plus Base Fees at 1993-94 rates, plus the Base Fee adjustment relating to the Additional Qualifications courses. The 1994-95 Base BOI consists of Formula Grants recommended plus Base Fees at 1994-95 rates plus the Base Fee adjustment relating to AQs recommended in AM 93-VIII inflated by 10%. For OCA and Hearst, the BOI shown is moving-average BOI since enrolments for these institutions are below their respective corridors. OCA's BOI has increased slightly reflecting the fact that its moving-average enrolments is higher in 1994-95 in comparison to 1993-94.
2. Shares of Base BOI for all institutions have been adjusted to reflect the 375 BIU strategic corridor reduction to the University of Toronto's base factors.
3. Transition BOI for Algonia College reflects that institution's growth toward its new corridor BIUs. Moving-average enrolments at all other institutions had previously achieved new corridor levels.
4. Slip-Year refers to the year prior to the current funding year; for example, for the 1994-95 funding year, the slip-year is 1993-94.

94-II Graduate Student Bursary Program Advice

1.0 Background

In addition to the regular OGS advice that OCUA tenders annually, the Minister also asked Council to consider establishing a new Graduate Bursary program to improve access for under-represented groups.

In his August 4, 1993 letter of response to the OGS Advisory Memorandum (AM 92-X), and specifically regarding Recommendation No. 92-52 urging the creation of targeted Doctoral student/educational equity awards, the Minister indicated he did not accept the targeted scholarships recommendation. His continued support for the principle of accessibility for under-represented groups, however, led to his request that Council consider establishing a new Graduate Bursary program targeted to under-represented groups.

The Minister asked Council to advise on the form a new bursary might take, as well as on how such a program might be funded, as there would be no new money available for it.

At the time that Council prepared its advice with a recommendation to create targeted scholarships, very little existed in terms of special equity-related support programs. Since that time, however, there have been some significant moves in that direction. In addition to changes to the Ontario Student Assistance Program (OSAP), other student financial aid programs have recently been refocused in attempts to improve access for under-represented groups, and there have been some new occurrences such as a private Member's newly proposed legislation¹ which may have significant implications on improving student access.

2.0 Review of Available Assistance Programs

Council has reviewed the latest federal and provincial efforts in order to get a sense of the current environment of available assistance for access by under-represented groups to post-secondary education.

Recent changes to the OSAP Bursary programs pertaining to under-represented groups access, while not exclusively aimed at graduate students, are all available to them.

Two new OSAP programs were implemented in 1993/94. The bursary for students with disabilities provides maximum assistance of \$2,000 per student per academic year for special educational expenses. A student must have qualified for loan assistance under the standard OSAP assessment, and incurred disability-related educational expenses not covered in the standard OSAP assessment in order to receive the bursary. Intended to supplement the regular OSAP loan program, the overall fund maximum is \$2 million.

The child care bursary provides assistance to married and sole-support parent students to cover the cost of child care. Once again a student must have qualified for loan assistance under the standard OSAP assessment; as well, he/she must be married or a sole-support parent, and if married, the student's spouse must have reported income. The student must have documented child care expenses. Eligible expenses are for care of children under the age of 12, or for children over 12 who require care due to disability, injury or illness. Maximum assistance under this program is the lower of: actual costs or \$40 per week per child for married students, or \$83 per week for sole-support parents.

Modifications to existing OSAP programs to improve accessibility also occurred for the 1993/94 academic year. The total budget amounts available in the Ontario Work Study Plan (OWSP) and the Ontario Special Bursary Plan (OSBP) were doubled to \$5.4 million each (one time only). The additional assistance was to be used to encourage the participation of certain

1. Gary Malkowski, MPP, Legislative Assembly of Ontario, Private Member's Bill 168, An Act to Ensure Equal Access to Post-Secondary Education, Transportation and Other Services and Facilities for Ontarians with Disabilities, Part I, Sections 7-9.

under-represented groups in the post-secondary system, the groups targeted being: Aboriginal Canadians, persons with disabilities, sole-support parents, current or former wards of the crown, Francophones, social assistance recipients, visible minorities and women.

The Ontario Special Bursary Plan covers tuition and other compulsory fees, and provides allowance for books, equipment and local transportation. To be eligible, students must have low family income (social services assistance recipients are eligible); be taking full-time or part-time upgrading courses; or taking regular post-secondary courses on a part-time basis, at a post-secondary school. Maximum assistance available is \$2,500 per academic year and students cannot receive a bursary and OSAP loan at the same time.

The Ontario Work Study Plan funds part-time jobs at Ontario colleges and universities with the institutions covering 25%, and OSAP 75% of the costs. Maximum assistance is \$1,000 per term.

It is also intended that the 1993/94 programs be used as a data-gathering effort. Students will be asked to voluntarily self-identify through a question on the application form. The statistics will be used to develop any future plans which could help to include more target group members at particular institutions.

Federally, the Canada Student Loans program has been altered by the Canada Student Financial Assistance Bill that received royal assent at the end of June, 1994. This legislation provides some under-represented groups with financial assistance in order to improve their access to post-secondary education. Once again these programs, while not excluding graduate students, are available for students enrolling at all levels of study in the system and, as the statistics indicate, the vast majority of assistance is usually received by undergraduate students. (In 1991-92, graduate students accounted for 3.45% of the users of the Canada Student Loans program.²)

The new federal legislation creates a national program of Special Opportunity grants to meet exceptional education costs of students with disabilities, high-need part-time students and women in doctoral studies. It offers deferred grants to high-need students; expands interest relief to low-income borrowers; and provides for adjustments to repayment procedures for loans to part-time students.³

Not all details of the federal legislation have been finalized, and implementation dates of the programs for the separate designated groups vary. The grants for students with disabilities program is the most evolved, and implementation is to occur during the 1994/95 academic year. This grant has a maximum award amount of \$3,000 per person per year. The awarding decisions will be needs based, and the intention is to share costs with the province on a 60/40 basis, the federal portion not to exceed the individual award maximum. The program is intended to assist students with education costs that result from their disability -- costs specifically related to receiving an education.⁴

The other two grant programs are to be implemented in the 1995/96 academic years. Consequently, their terms and eligibility criteria are less well developed and some details are still to be finalized. The awards for women in doctoral studies will also have a maximum of \$3,000 per person per academic year, with similar sharing of costs with the provinces. These awards will be aimed at certain disciplines where women are known to be vastly under-represented, such as math, engineering and applied sciences.

2. Letter from Ms Joan Wright, Policy Analyst, Human Resources Development Canada, to Ms L. Feldman, Research Assistant, Ontario Council on University Affairs, July 13, 1994.

3. Human Resources Development Canada, Backgrounder - Canada Student Financial Assistance Bill, May, 1994.

4. Jean Wright. Telephone conversation. July 13, 1994.

The assistance for part-time students will have a maximum individual figure as well -- currently \$1,200 is being considered but this may change by the date of implementation. Assessment of need for such awards will be strongly based on socioeconomic status (i.e., assessed by income level) of the applicants. The award is intended to assist those part-time students who are still unable to meet the costs of their education and would have a difficult time repaying loans that would be available under the loan assistance plan. This award will likely primarily assist part-time students who are already on social assistance, especially single parents.⁵

In addition to these grant programs, further assistance is available to part-time students through a federal loans system. The system is being altered by the implementation of an increase to the loan ceiling, and a planned adjustment to the current requirement for part-time students to begin repaying principal and interest on their loans within 30 days of receiving them.

Beyond financial aid programs, other actions are being taken in Ontario to help improve accessibility. Most recently, the Private Member's Bill introduced by Gary Malkowski, MPP, in early June, the Ontarians with Disabilities Act, 1994 (Bill 168), proposes the right of access to specific facilities and services, including post-secondary institutions, for people with disabilities. After second reading, the Bill was referred to the Standing Committee on Administration of Justice.

The Bill sets out some very basic, yet specific, principles for equal access to post-secondary education. It assigns responsibility to post-secondary institutions for preparing plans to achieve equal access, particularly by eliminating barriers such as conditions of admission and education and discretionary decision-making by faculty and administrative staff that adversely affect people with disabilities; implementing positive measures with respect to the admission and education of people with disabilities; and implementing measures to accommodate people with disabilities within the institution's student body.⁶ This bill would be applicable to all students with disabilities, graduate students being subsumed within the grouping.

Finally, some significant recommendations on improving the support for meeting the needs of print-handicapped students have been made in the Report from the Task Force on Provision of Transcription Services for Print-Handicapped Post-Secondary Students. Financial and training support, particularly to help students meet their equipment needs in this area, have been recommended⁷.

3.0 Bursary Program Recommendation

While this extensive set of efforts to improve accessibility for under-represented groups to post-secondary education is not exhaustive, nor are all elements fully operational, or at an implementation stage, it is ample evidence that access issues in relation to post-secondary education have begun to be addressed on the public policy agenda.

Council would like to indicate its support of these efforts. Council applauds these promising beginnings of providing a truly universally accessible post-secondary education system, and at the same time does not want to duplicate them. Council is facing the situation of having to recommend on a new bursary program with no new money available, and with being unwilling to take it from existing graduate award money. All of this occurs within the context

5. Jean Wright. Telephone conversation. July 13, 1994.

6. Gary Malkowski, MPP, Legislative Assembly of Ontario, Private Member's Bill 168, An Act to Ensure Equal Access to Post-Secondary Education, Transportation and Other Services and Facilities for Ontarians with Disabilities, Part I, Sections 7-9.

7. Report From the Task Force on the Provision of Transcription Services for Print-Handicapped Post-Secondary Students, April 11, 1994, Recommendations 31, 32.

of numerous new bursary programs and improved loan programs intending to address access issues that were not in existence at the time that Council first expressed concern over the issue.

While applauding these attempts, Council would like to point out some areas where deficiencies exist. As a review of the above programs indicates, while the newly created bursaries and other proposals do assist a number of designated groups, not all groups are covered equally. It would be fair to suggest that women and persons with disabilities appear to have good sources of support available to them from these programs. These are by no means perfect, of course, particularly with regard to the case of students with disabilities: there is nothing available for those students whose costs are above the \$2,000 level, and that could be a fair number, especially considering that most assistive devices/translation costs are often quite high, and some of these services may not be covered by the Assistive Devices Act.

Single parents and low socioeconomic status students are also specifically identified for financial assistance. Although this category often can include many of the other under-represented groups in its membership, such as visible minorities, people with disabilities, and women, they are not specifically targeted by the programs.

Council feels it is important to indicate that the most obvious deficiency is that these programs are particularly lacking in assistance for visible minorities.

There are other reservations Council has with regard to the potential of these programs to improve access for under-represented groups among the graduate student population. None of the aforementioned programs is in place for graduate students exclusively, and statistics indicate that on the whole this constituency does not avail itself of the programs to the same extent as the undergraduate student population.

As well, of the programs identified, some have yet to be implemented; others are only in existence for very finite periods of time.

Despite these reservations, it is still obvious to Council that the landscape is rather full with a number of varied initiatives that are yet to be tested. In particular, the bursary program idea has been put in place at both the provincial and federal levels. Council would like to afford these programs some time to be put in place and played out, in order to observe if they do indeed accomplish the accessibility goals they espouse as well as expected. Council also would want to watch closely to see if graduate student access is significantly affected by these programs.

Council reiterates that despite noting that the solutions offered in the current programs with regard to visible minorities are weak, the best strategy to pursue at this juncture is that of not recommending a new bursary to add to the rest. Instead, Council would like to offer advice on other strategies that are available for approaching the access issues.

Accordingly, Council *recommends to the Minister:*

OCUA 94-11

BURSARY PROGRAM RECOMMENDATION

THAT no new Bursary program to improve access for under-represented groups at the graduate level be created at this time.

4.0 Barriers to Under-Represented Groups

Council would like to suggest that there are areas to be examined beyond financial assistance. One key area is that of the provision of services to under-represented groups. The availability, or lack thereof, of services can greatly affect access. Services that are not being provided by the university are, in fact, the very "barriers" these under-represented groups are facing.

There are many barriers facing students from designated groups in proceeding to graduate programs, particularly barriers that relate to services provided by (or those that should

be provided by) universities. Council has examined the evidence and has prepared a review of these barriers, categorizing them thematically.

(a) *Language*

Language barriers exist for more than one under-represented group. While there is the obvious situation of students whose first language is not English, special-needs students also experience difficulty in the language category. Deaf and/or hard-of-hearing students may require sign language interpreters; students with visual impairments may need texts and other materials read onto tape, or presented in braille format, large print, etc. Although these are difficulties that are faced by these students at the undergraduate level, there is a unique aspect that is related to studying at the graduate level. Beyond tape or braille formats of course material, graduates work at a level of expertise and research complexity that may well require much more than translation of text. For example, conducting library and literature searches requires assistance from someone who is appropriately qualified at the same level of expertise as the student with the disability.⁸ This situation is also applicable to hard-of-hearing students -- to simply rely on sign language interpreters is not likely to be useful at the graduate level. At that level, once again, one would require the interpreter to be at a similar level of expertise as the student, and to be familiar with the terminology and discipline in which the student is studying. Otherwise, the interpretation provided could well be flawed, or missing some crucial content.

For students whose first language is not English, the availability of second language training is often crucial to comprehension and their ability to progress in their studies. Translation and interpretation for First Nations students is more than just a comprehension issue. It also helps to remove those impediments to the ease of the student experience and can eliminate stresses and apprehensions that are unrelated to knowledge of the discipline and academic ability, yet are directly related to achieving a comfort level for high performance.

b) *Physical Access*

This barrier is one that is applicable not only to students with disabilities, but to the aged as well. Physical access to buildings, classrooms, living quarters and transportation are all considerations for students attempting to complete their post-secondary education. Obviously, the lack of ramps, elevators, large manoeuvrability space -- most common in older campus buildings -- are just a few of the many hindrances to physical access experienced by students with disabilities. Beyond these physical barriers, there is the absence of devices for access of the hearing and visually impaired students. Everything from availability of Telephone Devices for the Deaf (TDD) for communications with the university, professors, and classmates; to visual aids in class; to audio devices on elevators, can prevent access to the education experience.

Additionally, physical access to living quarters on campus can play an important role. If students with disabilities are unable to access living space that accommodates their needs, such as allowing for wheelchair mobility, it is all the more difficult to accomplish the academic requirements of the program. If the convenience of on-campus living quarters cannot be offered, another barrier has been added to the student's experience. In addition, transportation to and from campus for students with disabilities often requires special arrangements that are costly in terms of time, money and convenience.

8. Letter from Dr. Gill Teiman, Employment Equity Coordinator, York University, to Hon. David Cooke, Ontario Minister of Education and Training, December 9, 1993.

(c) *Cohort Strength*

A barrier that is often experienced by any and all of the under-represented groups arises from the very fact that there are so few of them on campus, such that they often are the only members of their particular group. This can be very isolating to the point of alienation. OCGS itself has recognized this as a barrier to graduate students, described as the lack of a welcoming campus climate.⁹ As OCGS mentions, it is often argued that to attract/enrol/retain members of under-represented groups, particularly those from racial and ethnic minorities, as students, the university needs a critical mass.

The significance of having other students that share one's "group" identity cannot be underestimated. Emotional support is very necessary in achieving success, particularly at the rigorous academic level of graduate studies. Collaboration and comradeship can be crucial. As well, isolation caused by the lack of others from one's own group can hinder a student's integration into the life and culture of the institution, in turn preventing him/her from succeeding in his/her studies. An article on the black woman's experience in academe in the States provides a useful illustration of the difficulties under-represented groups face due to isolation on campus:

Because of the nature and requirements of graduate training, a student's success is greatly affected by the type and quality of the relationships she develops both with faculty members and with other students.¹⁰

If the nature of that relationship is affected in any way due to the alienation of the student, then the graduate experience will be negative, and the results may very well lead to the student not completing the degree.

What is needed to make students of under-represented groups feel welcome is to attract a strong cohort to provide emotional support, and a sense of belonging. As well, the way in which such students are received on campus and in graduate programs is also dependent on how receptive/accepting of them the campus members themselves are, be they professors, administrators, or classmates. The acceptance of differences can best be encouraged through the strengthening of numbers -- comfort levels with under-represented groups would improve as their representation on campus improved. What is needed is a critical mass -- more graduate students of the group -- to achieve change; therefore, more students of the group at graduate levels.

Another aspect to this is the existence of role models. Students are often far more motivated, and thus more likely to succeed, when they have role models to identify with and perhaps turn to for support and advice. Withdrawal from graduate programs, in the case of women, has been seen to be caused by departmental atmosphere -- the lack of a sense of community. Mentoring is key for all under-represented groups; without a supportive environment or advisor, it is difficult for a graduate student to be successful.¹¹ As is the case for women, under-represented groups benefit greatly from having mentors from their own group or mentors who are empathetic to them, to turn to for guidance, support, and instruction.¹²

9. Ontario Council on Graduate Studies, Educational Equity in Graduate Studies in Ontario: A Discussion Paper, January, 1993.

10. Yolanda T. Moses, Black Women in Academe: Issues and Strategies, Association of American Colleges, August, 1989.

11. Ontario Council on Graduate Studies, Women in Graduate Studies in Ontario, September, 1989.

12. Ontario Council on Graduate Studies, Women.

(d) *Care*

Another area where barriers to access are experienced occurs in the provision of services for care. This again can refer to a number of different areas including personal care (students themselves); medical support (medical supplies for students with disabilities); home costs (particularly with students with disabilities -- not all are on a level playing field at home).

Students with disabilities often require time and energy to devote to their personal care which will naturally interfere with their ability to apply themselves to their studies at the same level as their colleagues. Time, money, and energy levels are constantly being pushed to the limit for students with disabilities. The costs of attendant care, medical supplies, adaptation of living quarters alone can be exorbitant, assuming that any or all of these services are readily available. Council recognizes that the Ontario government currently provides attendant care and medical supplies to some students with disabilities. While the government has made great strides in this service provision area, there is still a question as to whether this is enough to meet the needs: there are still students with disabilities who are not able to obtain these much needed services.

Time for personal care and medical care also will far exceed that spent by most graduate students without disabilities. Time factors are naturally going to drastically affect a student's productivity and ability to maintain the expected rate of study at the graduate level.

This category also pertains to the care of dependents. Most often, women face this barrier as a result of the family roles they are traditionally expected to play. Whether it is caring for children, elderly parents, or maintaining the household, the care giving role is often, although not always, the woman's responsibility. In the case of low income households, single parenthood is often the norm, once again relegating the care giving role to the student.

The lack of availability of good, quality, reliable and accessible child care and the multiplicity of roles these people are expected to play -- parent, student, and often sole income earner -- inevitably can lead to stress and exhaustion, restricting the amount of time and quality of effort students are able to commit to their studies and interactions with faculty. These elements are crucial to the success rate of graduate students¹³.

(e) *Scheduling*

For single parents, and women with the familial care role responsibility, flexible scheduling of courses is crucial to allow them to work around their dependent care time restrictions. As well, the amount of time they are able to devote to their out-of-classroom studies is drastically reduced by familial responsibilities. It is here that traditional class scheduling and time limits for completion of studies come into play. If institutions are unwilling to accommodate the different schedules and time demands experienced by their students, the students will suffer.

Students from low socioeconomic backgrounds are also affected by scheduling. In a study reported by Carolyn Filteau on behalf of OCGS in 1992, of those PhD students surveyed who reported an interruption to their studies that affected completion time, 44% did so to work full or part-time and 19% did so for family issues¹⁴. Working to pay the bills or care for children can affect the time available to devote to school. If adjustments to daily scheduling as well as time-to-completion of degree were made, many such students would be able to manage better.

Scheduling barriers also relate to issues of religion. Graduate students who belong to a different religion from that around which holiday scheduling has been planned may be facing difficulties in attending classes, meeting assignment deadlines, or doing research if such

13. Ontario Council on Graduate Studies. Women.

14. Ontario Council on Graduate Studies. Graduate Graduation Rates and Time-to-Completion: Colloquium Proceedings, ed. Carolyn Filteau, February, 1992.

activities are in direct time conflict with their religious holidays. Observance of one's religion is very personal and the right to observe without discrimination is an entitlement for all. There can be much inflexibility, however, in the allowances made for these observances, and this again will hinder graduate student success and retention. Council notes that some universities have already made accommodations in this area for their students. It is hoped that this accommodation eventually will be implemented system-wide.

For students with disabilities, personal energy level issues are extremely important. The extra time and energy that is often required for these students to be able to function at the same levels as their colleagues, given the transportation, home care, personal care challenges they often face, can be extremely stressful and energy depleting. Scheduling should be convenient for transportation reasons and classrooms should be close together.

As well, given that these students often have need for translation or transcription services, and to make use of various other assistive devices that are not often readily available, time becomes very important. Provision of material in a timely way, and the efficiency of support systems such as the interpretation of documents can make the difference to these students' abilities to complete their work within expected timeframes.

5.0 Implications

Council believes, based on available material and experience, that these are the barriers experienced by students limiting their participation in graduate level post-secondary education. Council believes this is why there is a poor representation of graduates from the designated groups.

Council's hypothesis is that there is not a great rate of participation of designated groups at the graduate level, and it may well be as a result of these barriers that this situation exists. However, without statistics and case studies to back up this theory, it is difficult to suggest remedies.

Of the limited amount of research currently available, most covers the situation of women students. The most extensive data to date has been collected by OCGS as part of their annual Graduate Macroindicator Data: Ontario report. A review of some of the material indicates that the under-representation at the graduate level is very much a reality.

Student data from 1992 reported in COU's facts & figures Spring 1994 publication indicate that women receiving degrees at the undergraduate level outnumber the males; however, the graduate level shows a different scenario. Although enrolment numbers for women at the Masters level are almost the same as men, there is a wide disparity when the numbers are looked at by discipline, the science disciplines indicating extremely low numbers for women. At the Doctoral level, despite the number of degrees being awarded to women having risen over the years, there is still no balance in participation between men and women. The number of Doctoral degrees received by women is still at least half of those being awarded to men.¹⁵

There would appear to be strong indications that much of this is a result of a number of the above mentioned barriers. All indications from recent studies are that women, at the graduate studies level, are still at a disadvantage. Because of the fuller body of research, one has more examples/information to cite in support of the "argument". However, it can be seen that some of the barriers to access experienced by women are applicable to other under-represented groups, particularly when it comes to the provision of services.

5.1 Research into Graduate Experience of Students from the Designated Groups

It is necessary to know the actual situation in order to implement appropriate remedies; therefore, Council would like to see an examination of under-represented groups in

15. Council of Ontario Universities, Facts & Figures: A Compendium of Statistics on Ontario Universities, Spring 1994, Volume 2, Table 3.5.2, p. 65.

graduate faculties. This is best accomplished by gathering information on under-represented groups and doing a comparison against undergraduate statistics. The results will give a good sense of where access issues exist.

The gathering of statistics is becoming a reality in Ontario. In fact, OCGS already collects data on the status of women graduate students. A recent pilot project sponsored by COU has led to the collecting of equity data through the OUAC on first year enrolments. As well, OCGS has indicated that one necessary aspect of guaranteeing facility of access and enrolment, and of ensuring completion of graduate study for designated groups is the collection of quantitative and qualitative data. This allows for an assessment of representation of designated groups, helps in setting equity goals and in monitoring progress towards these goals.¹⁶ As a first step, an outline of who is getting scholarships would be useful.

One aspect of performing an assessment of the current system would be to collect performance indicators. This examination would be most useful if it included information on:

- rate of participation of designated groups at graduate level (including by discipline and degree level);
- rate of retention/failure to complete;
- indication of success (academic); and
- scholarship recipients.

Although Council can identify a range of barriers to be taken into account in an examination of the access issues, an assessment of the current system to demonstrate and identify adverse impact on under-represented groups is needed.

In looking at the results of the statistics gathered, Council would be interested in what the data say about the graduate experience. What is desired is to create a "welcoming environment" for these under-represented graduate students. The university community has discussed this as part of the June 1993 Educational Equity in Ontario Universities conference sponsored by OCGS and COU's Committee on Employment and Educational Equity. An entire session of the conference was devoted to the topic of Retention: Ensuring an Environment for Successful Completion.

Council believes that the statistics should indicate the barriers, and once these have been addressed, the quality of the student's experience will, in fact, have been improved. It would be useful to see whether the quality of the experience at a minimum is the same as others.

6.0 Further Analysis

Improving the access of under-represented groups to graduate education not only would provide Ontario with a representative graduate student population, a valued end in itself, but it will also have the potential of providing a more representative workforce, including academics. Given that currently it is anticipated that a minimum of 25 per cent of tenured faculty will be retiring by the year 2000, a unique opportunity to address the gender and equity balance in Ontario universities' professoriate will be created¹⁷. In order to take advantage of this opportunity, the system will need to provide appropriate candidates.

Research into the quantitative and qualitative aspects of the graduate student experience would provide a good basis for formulating some strategic and effective recommendations to address the barriers facing under-represented groups.

16. Ontario Council on Graduate Studies, Educational Equity in Graduate Studies in Ontario: A Discussion Paper, January, 1993.

17. Ontario Council on University Affairs, Sustaining Quality in Changing Times Funding Ontario Universities: A Discussion Paper, August, 1994, p.14.

Council would welcome the opportunity, once the statistics have been gathered in two years, to assess the situation and make recommendations, as appropriate.

Accordingly, Council *recommends to the Minister:*

OCUA 94-12

RESEARCH PROJECT RECOMMENDATION

THAT a research project of two parts be undertaken:

[1] that quantitative data on under-represented groups be collected at the time of registration and graduation

[2] that research based on a qualitative methodology (e.g., focus groups) be undertaken to examine the services provided, to identify the barriers, to make recommendations on improvements, and to suggest means of overcoming the barriers facing under-represented groups

Council further recommends that the research be led all, or in part, by the Ontario Council on Graduate Studies (given that it already collects data on the status of women graduate students), or by the Ministry.

Joy Cohnstaedt,
Chair

July 22, 1994

94-III The Allocation of Government's Operating Support for the University System in 1995-96

1.0 Introduction

On December 5, 1994, the Minister of Education and Training announced that for the 1995-96 funding year the total operating grants available for distribution to the university system would be \$1.821 billion. At that time, the Minister stated "...the government has again maintained transfer payments at last year's levels for 1995-96, without any further reductions beyond those previously announced under the Expenditure Control Plan and Social Contract initiatives."¹

On February 13, 1995, the Minister of Education and Training requested that Council provide advice on the allocation of \$1.758 billion for the 1995-96 funding year.² Thus while the global funds available for operating grants to universities have been reduced by 0.7 per cent to \$1.821 billion in 1995-96 (Table 1, Line 1), the funds available to Council for allocation in 1995-96 have been reduced by 0.9 per cent in comparison to the level of funds which were made available for these purposes in 1994-95. In 1994-95, the level of funds available for the funding envelopes on which Council provided advice was \$1,774.9 million (Table 1, Line 3). In 1995-96, \$1,758.5 million has been provided for distribution among the funding envelopes on which Council provides advice.

The reduction in funds available to Council for allocation in 1995-96 results from an increase in the funds held by the Ministry of Education and Training (MET) for distribution among the special purpose funding envelopes, and an Expenditure Control Plan (ECP) Cash Flow Adjustment of \$9.5 million. Special Purpose Grants, as determined by Government at \$53.058 million in 1995-96, are 7.2 per cent higher than the 1994-95 level of \$49.514 million. Since funding under the Faculty Renewal Program was completed at the end of 1994-95, as scheduled, the \$3.773 million which was provided for this program in 1994-95 is set to zero in 1995-96.³

Available to Council for allocation in 1995-96, therefore, is \$1,758.466 million (Table 1, Line 3). These operating funds are to be allocated to the provincially-assisted universities and their affiliated colleges, the Ontario Institute for Studies in Education (OISE)⁴, the Ontario College of Art (OCA) and Dominican College.

Government has also confirmed its earlier announcement that Formula Fees for domestic and visa students will increase by 10.0 per cent in 1995-96. Based on 1994-95 enrolment levels, it is estimated that this increase will generate an additional \$52.8 million in Regular Formula Fees in 1995-96.

2.0 Overview of the Approach to the 1995-96 Allocations

Council's overall approach to the 1995-96 allocations is to recommend continuation of the move towards equalizing two Basic Income Unit (BIU) values, the average Base BIU value

1. Memorandum from the Honourable Dave Cooke, Minister of Education and Training, to Chairs, Board of Governors and Executive Heads of Provincially-Assisted Universities, OCA, OISE, Algoma, Hearst and Dominican, December 5, 1994.

2. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, February 13, 1995.

3. *Ibid.*, Table A.

4. The Ministry of Education and Training funding arrangements of the agreement for integrating OISE and the Faculty of Education of the University of Toronto (FEUT), within the University of Toronto, are effective in the 1996-97 funding year.

A Proposal for Integrating OISE and FEUT within the University of Toronto, pp. 3 - 9, December 16, 1994.

Table 1

Grants Available for Allocation in 1995-96 in Comparison to 1994-95 Preliminary Allocations (\$000)

	OCUA Recommen- dations 1994-95	OCUA Recommen- dations 1995-96	Change in Comparison to 1994-95 Recommended:	
			\$ Change	Percentage
	(Col. A)	(Col. B)	(Col. C)	(Col. D)
1. Total Operating Grants	1,833,378.0	1,821,024.0	(12,354.0)	-0.7%
2. Less Ministry of Education and Training Items:	49,514.0	53,058.0	3,544.0	7.2%
a) Special Purpose	3,773.0	0.0	(3,773.0)	
b) Faculty Renewal	5,182.0	9,500.0	4,318.0	
c) Expenditure Control Plan Cash Flow Adjustment	58,469.0	62,558.0	4,089.0	7.0%
d) Sub-Total				
3. Operating Grants Available for Envelopes on which Council Provides Advice	1,774,909.0	1,758,466.0	(16,443.0)	-0.9%
4. Formula Grants	1,530,825.0	1,510,925.0	(19,900.0)	-1.3%
5. Transition to New Corridors Grants	169,112.0	173,404.0	4,292.0	2.5%
6. Mission-Related, Institution- Specific	7,771.0	7,670.0	(101.0)	-1.3%
a) Northern Operations	2,732.0	2,696.0	(36.0)	-1.3%
b) Northern Mission	23,630.0	23,323.0	(307.0)	-1.3%
c) Bilingualism Grants	1,629.0	1,608.0	(21.0)	-1.3%
d) Differentiation Grant	653.0	645.0	(8.0)	-1.2%
e) Algoma Extraordinary	36,415.0	35,942.0	(473.0)	-1.3%
f) Sub-Total				
7. Other Operating Grants				
a) Research	27,839.0	27,477.0	(362.0)	-1.3%
Overheads/Infrastructure	5,326.0	5,326.0	0.0	0.0%
Envelope	4,892.0	4,892.0	0.0	0.0%
b) International Graduate Student Differential Fee Waivers	38,057.0	37,695.0	(362.0)	-1.0%
c) Enhanced Accessibility for Students with Disabilities				
d) Sub-Total				
8. Contingency Funds	500.0	500.0		

NOTE: The Faculty Renewal Program was completed at the end of the 1994-95 funding year, as scheduled.

and Transition to New Corridor BIU value. In the context of the overall cut to the funding available, Council's recommendations temper funding changes in comparison to 1994-95.

The grant distribution recommended by Council for 1995-96 is provided in Table 1. These allocations reflect Council's consideration of:

- the general cut to the funds available; and
- the relationship between the average Base BIU value and the Transition to New Corridor BIU value, balanced against appropriate funding to other envelopes.

In addition, Council considered the following specific institutional issues in its 1995-96 allocative advice:

- the permanent adjustment to York University's Base Basic Operating Income (BOI) for its International Master of Business Administration program (previously, funding from the Ministry's Special Purpose Grants has been provided for this program);
- the request by Hearst College for a reduction in its corridor Base BIUs and maintenance of its Formula Grants;
- the Ontario College of Art's request for a one-year extension to the corridor subsidy it has received for the 1990-91 to 1994-95 funding years;
- the reference from the Minister of Education and Training with respect to the Dominican College request for Bilingualism Grants funding for a bilingual undergraduate program in Philosophy;⁵ and
- Algoma College's request for the transfer of its Extraordinary Grant to base funding.

Subsequent to receiving the reference from the Minister for the 1995-96 allocative advice, Council undertook a written consultation with the system's stakeholders.⁶ The responses to Council's consultation raised:

- the issue that long-term planning is difficult given the lack of information on the impact of federal cuts to Established Payments Financing (EPF) for 1996-97 and 1997-98 on total university operating grants;
- the concern regarding the large increase to the Ministry of Education and Training's Special Purpose Grants (7.2 per cent in 1995-96) at a time when total operating grants are being cut;
- the suggestion to increase the funding for the Transition to New Corridor BIUs, so as to ensure that these BIUs are funded at full average revenue;

5. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 17, 1995, p. 1.

6. Memorandum from Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, to Executive Heads of Ontario Universities, March 3, 1994.

- the issues of funding inequities of a BOI/BIU (Basic Operating Income/Basic Income Unit) nature and funding inequities of a research nature;
- the suggestion to provide maximum support to base funding;
- the suggestion to apply the cut across-the-board to all funding envelopes;
- the request for clarification on Additional Qualification (AQ) course funding eligibility;
- the request for a Differentiation Grant;
- the request for the removal of corridors and equal funding for each university's BIUs; and
- other specific institutional requests.

Council has reviewed the concerns raised in response to its consultation with the system on the 1995-96 allocations. Council considers it to be inappropriate to introduce significant change in the funding arrangements, given that it will be providing advice to the Minister on the Resource Allocation Review in the Spring of this year.

Council recommends an approach to narrowing the funding differential between student places funded through the Base funding and student places funded through the Transition to New Corridors funding, that tempers disruption to institutional funding stability. Council recommends that the value of the Transition to New Corridor BIU value be increased from 94 per cent of the average Base BIU value to 97 per cent. Council also recommends that all other funding envelopes be reduced proportionately, with the exception of the Enhanced Accessibility for Students with Disabilities funding envelope and the International Graduate Student Differential Fee Waivers funding envelope. Through this approach, Council is recommending that the phase-in of additional funding to the Transition to New Corridors Grants be resumed in 1995-96, and that the discount on the BIUs funded in this envelope be reduced by 3 per cent. The target transition BIUs funded in 1995-96 increases to 45,600 BIUs from 43,950 target BIUs in 1994-95. This reflects the final phase-in of the Target Transition BIUs to New Corridor levels. Even with the discounted funding provided to the Transition to New Corridors funding envelope in 1994-95, there remained an estimated 18,964 BIUs (or roughly 11,099 FTEs) slip-year compared to the new corridor mid-point, which are funded only through the fees paid by the students.

Council's recommendation is made in the context of the current allocative system and does not prejudice the review which was undertaken as part of the Ministerial reference to Council on Resource Allocation, and on which Council will be providing advice to the Minister in the Spring of 1995.⁷ Council recognizes that there is an outstanding commitment with respect to equalizing the funding value of the Transition to New Corridors BIUs to the average Base BIU value under the existing system of funding.

In Advisory Memorandum 94-I⁸, Council recommended that a review be undertaken to determine the feasibility of transferring some level of Algoma College's Extraordinary Grant to the

7. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 24, 1993.

Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, December 7, 1994, p. 2.

8. Ontario Council on University Affairs, Advisory Memorandum 94-I, The Allocation of Government's Operating Support for the University System in 1994-95, p. 24.

College's base funding through increasing its corridor level. However, Council has decided to postpone such a review until the outcome of the Resource Allocation Review is determined.

In the following sections, Council presents Government with advice on the distribution of the \$1,758,466 million in three broad categories: enrolment-based formula determined grants; mission-related, institution-specific grants; and other operating grants. Of the \$1,758,466 million operating grants available for Council allocation, approximately 95.8 per cent is allocated by Council as enrolment-based operating grants formulae; 2.0 per cent is allocated to mission-related, institution-specific grants; and 2.1 per cent is allocated as other operating grants. There are few restrictions on the use of the grants allocated under this system beyond the requirement that they be spent on operating expenditures. The three funding envelopes, which represent the exception to this are: the Northern Mission Grants, which have pre- and post-auditing requirements; the Enhanced Accessibility for Students with Disabilities funding envelope; and the International Graduate Student Differential Fee Waivers funding envelope. These three envelopes represent 0.7 per cent of the funds allocated by Council in 1995-96.

Section 3 contains Council's recommendations for the enrolment-based Formula Grants funding envelope and the Transition to New Corridors Grants funding envelope. This section also identifies the level of the contingency fund. In 1995-96, the Formula Grants funding envelope represents 83.0 per cent of the total operating grants to universities and 85.9 per cent of the funds allocated by Council. The Transition to New Corridors Grants represents 9.9 per cent of the funds allocated by Council. In Section 4, Council makes recommendations on the distribution of: the Differentiation Grant to Trent University; Northern Ontario Grants (Operations and Mission Grants); the Bilingualism Grants; and the Extraordinary Grant for Algoma College. Council provides advice on the size and distribution of the Bilingualism Grant in accordance with the Minister's letter to the Franco-Ontarian Education and Training Council :

En raison de la révision des mécanismes de financement global des universités que mène présentement l'OCUA, j'ai tenté de minimiser les changements aux pratiques passées jusqu'à ce que la révision ait été achevée et que des décisions concernant le financement à long terme de chaque université aient été prises. Par conséquent, j'ai demandé au COAU de me conseiller au sujet de l'affectation des subventions au bilinguisme comme il l'a fait au cours des années précédentes.⁹

In Section 5, Council makes recommendations on the allocation of the Research Overheads/Infrastructure funding envelope; the International Graduate Student Differential Fee Waivers and Enhanced Accessibility for Students with Disabilities funding envelope.

At the end of this document, two tables are provided. Table 2 summarizes Council's recommendations on grants by institution, and Table 3 summarizes the distribution of Basic Operating Income (BOI) by institution.

3.0 Enrolment-Based Formulaic Grants

3.1 Formula Grants Funding Envelope

Of the \$1,821,024 million in operating grants available for 1995-96, \$62.6 million has been targeted for particular purposes by Government. Council has \$1,758,466 million to recommend for allocation among the funding envelopes and the contingency fund. From the

9. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Madame Rolande Faucher, President, Franco-Ontarian Education and Training Council, February 17, 1995, p. 1.

amount available for Council recommendations, \$500,000 is set aside in 1995-96 as a contingency provision.¹⁰

For 1995-96, Council recommends that \$1,510.925 million be allocated according to the Formula Grants methodology as recommended in Advisory Memorandum 86-VII.¹¹ This level of Formula Grants in 1995-96 represents a 1.3 per cent decrease in comparison to the Formula Grants allocated by Council in 1994-95. In allocating this level of Formula Grants among the institutions, the following adjustments are made for 1995-96.

- The University of Toronto's share of Base BOI is adjusted down by an additional 375 BIUs.¹²
- York University's share of Base BOI is adjusted up by 305.6 BIUs.¹³
- The Ontario College of Art and Hearst College are funded according to their moving-average enrolments instead of their share of Base BOI since the five-year moving-averages of enrolments for these institutions are below the floors of their corridors (corridor mid-point BIUs minus 3 per cent).

The moving-average enrolments (five years ending in 1994-95) for Hearst College and the Ontario College of Art are below the floors of their respective corridors. Hearst College's moving-average enrolments are 16 BIUs below its corridor floor (corridor mid-point BIUs minus 3 per cent). The moving-average enrolments for the Ontario College of Art are 2 BIUs below its short-term corridor floor (2,500 BIUs minus 3 per cent) and 84 BIUs below its long-term corridor floor (2,583 BIUs minus 3 per cent).

Under the formula provisions, when an institution falls below its corridor, it can be funded by its moving-average enrolments and lose Formula Grant income, or negotiate with Council a corridor reduction which may or may not cushion the institution from income loss. Funding Hearst College, according to its moving-average enrolments, results in an approximate Formula Grant loss of \$141,000 in the 1995-96 funding year.

Council noted in its 1994-95 allocative advice that following formula provisions, and similar to the opportunity which was extended to OCA, Hearst College can approach Council in the matter of negotiating a corridor reduction. In a recent letter to Hearst College, Council again alerted the College to the implication of the College's recent enrolment trend.¹⁴ In a response to

10. The contingency fund is identified annually in Council's allocative advice to Government for the purpose of meeting potential exigencies. Examples include: the additional Formula Grants that would be required for any retroactive BIU adjustments, and the meeting of any other institutional financial needs deemed appropriate for funding by the Minister. Any unused funds in the contingency fund are added to Formula Grants at the end of the fiscal year.

11. See Ontario Council on University Affairs, "Advisory Memorandum 86-VII. Modification of the Operating Grants Formula," *Thirteenth Annual Report 1986-87*, pp. 160-171, for a description of the formula to distribute Formula Grants.

12. Undergraduate Medicine Agreement Between the Minister of Education and Training and The Governing Council of the University of Toronto, July, 1993. In 1994-95, base funding for this institution was adjusted by 375 BIUs.

13. Letters from Bernard Shapiro, Deputy Minister, Ministry of Colleges and Universities, to Professor Harry W. Arthurs, President, York University, dated May 27, 1991 and February 26, 1991.

14. Letter from Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, to Dr. R. Tremblay, President, Hearst College, March 10, 1995.

that letter, Hearst College has requested a decrease to its corridor from 180 to 120 BIUs while maintaining its 1993-94 base grant amount for each of the next five years.¹⁵ Council will be reviewing this request in the near future and will be providing separate advice to the Minister on this matter. Any funding to Hearst College which might be deemed to be required as a result of Council's review would need to be drawn from the \$500,000 contingency fund that Council has identified for 1995-96.

For the 1990-91 funding year, OCA negotiated a reduction of 83 BIUs to its corridor of 2,583 Base BIUs (average of 1983-84, 1984-85 and 1985-86 BIUs). With that reduction, OCA received special consideration beyond normal entitlements associated with an institution's moving-average enrolments falling below its Base BIU level since there was no funding loss corresponding to the 83 BIU reduction.¹⁶ This was granted as an extraordinary and temporary corridor reduction for a five-year period ending in the 1994-95 funding year.

Despite the 1990-91 negotiated reduction to OCA's corridor, OCA's moving-average enrolments fell below its negotiated lower corridor in the 1993-94 funding year and remained below that floor for the 1994-95 funding year.¹⁷ Consistent with the formula's operation, OCA was funded according to its moving-average BIUs for those funding years, but in a manner which maintained the corridor subsidy afforded to the College beginning in 1990-91. The temporary corridor reduction for OCA and the funding arrangements relevant to that agreement were to conclude at the end of the 1994-95 funding year. In Advisory Memorandum 90-I, Council outlined the choices available to the College at the end of the corridor subsidy period of 1990-91 to 1994-95 as:

- (1) if OCA wants the new corridor level of 2,500 to remain in place, the institution's Base BOI should be reduced proportionate to the reduction in BIUs below the current corridor; or,
- (2) the institution's Base BIUs return to the current level of 2,583 and the institution's Base BOI remains unchanged.¹⁸

As noted above, the five-year moving-average (ending with the 1994-95 enrolment year) of OCA's BIUs are 2 BIUs below the short-term corridor floor (2,500 BIUs minus 3 per cent) and 84 BIUs below its long-term corridor floor (2,583 BIUs minus 3 per cent). The removal of the College's corridor subsidy, by reducing Base BOI in proportion to the 83 BIUs, would result in a permanent income loss of approximately \$450,000. Alternatively, restoring the long-term corridor mid-point of 2,583 BIUs would result in an approximate Formula Grant loss of \$300,000 in the 1995-96 funding year.

15. Letter from Dr. R. Tremblay, President, Hearst College, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 23, 1995, p. 1.

16. The funding cushion afforded to OCA is approximately \$286,000 in 1995-96 dollars.

17. The method, followed by Council for calculating an institution's moving-average BOI, fees and grant, is that set out in "Advisory Memorandum 86-VII, Modification of the Operating Grants Formula", Thirteenth Annual Report, 1986-87. This method was agreed to by Government. The only adjustment required for OCA is to the moving-average fees. That adjustment is equivalent to the percentage reduction that the 83 BIUs represent of the reduced corridor of 2,500 BIUs (3.35 per cent). Therefore, in addition to the 3 per cent of Base formula fees by which the moving-average fees are increased as set out in Advisory Memorandum 86-VII, an addition of 3.35 per cent of Base formula fees is made to the moving-average fees for OCA.

18. Ontario Council on University Affairs, "Advisory Memorandum 90-I, Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Negotiations", Seventeenth Annual Report, 1990-91, p. 58.

In a letter dated August 29, 1994, OCA requested a one-year extension to the corridor subsidy which was scheduled to conclude at the end of the 1994-95 funding year.¹⁹ Council requested that additional information be provided by OCA prior to considering an extension to the corridor subsidy.²⁰ The College has indicated that some changes to programs proposed by the internal committees and Restructuring Team, which are under consideration by the College's Governing Council, would affect the College's corridor position. In more recent correspondence from the College, it has requested that "For the reasons set out in our previous correspondence, the College would prefer to extend the existing corridor agreement."²¹

Council has considered the College's request for a one-year extension to the temporary funding arrangements. In anticipation of the College implementing the recommendations of the Restructuring Team, Council recommends that the corridor subsidy, which has been in place for the 1990-91 to 1994-95 funding years, be extended by one year for the 1995-96 funding year only. Council is providing this extension to allow OCA a relatively stable funding environment for 1995-96 in which to implement the College restructuring.

The 1995-96 Formula Grants allocation, outlined in Table 2, reflects the reduction to the University of Toronto's medical enrolments according to the July, 1993 agreement between the Ministry and the University.²² In Table 2, the University of Toronto's 1995-96 Base BOI, Base Formula Fees and Formula Grants have been reduced as a strategic corridor reduction according to the phase-in of the BIU reductions set out in the undergraduate medicine agreement (375 BIUs in 1994-95 and an additional 375 BIUs in 1995-96). The method for calculating this strategic corridor reduction was set out in Advisory Memorandum 94-I.²³

The 1995-96 Formula Grant allocations in Table 2 also reflect implementation of an agreement made between the Ministry of Colleges and Universities and York University in 1991, with respect to eligible enrolments in the University's International MBA program. The program was recommended for funding eligibility by Council in Advisory Memorandum 90-XII.²⁴ A Special Purpose Grant, for enrolments in this program, has been set aside by the Ministry for the 1991-92 through 1994-95 funding years. An agreement was made in 1991 to permanently fund these BIUs through the Formula Grants funding envelope in the following manner:

In the 1994-95 funding year, a special one-time adjustment to York University's Basic Operating Income (BOI) amount contained in the basic grants envelope will be effected, based on 1993-94 actual enrolment and the

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19. Letter from Timothy Porteous, President, Ontario College of Art and Terrence Heath, Chair, Governing Council, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, dated August 29, 1994, p. 2.
 20. Letter from Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, to Mr. Terrence Heath, Chair, Governing Council, Ontario College of Art and Mr. Timothy Porteous, President, Ontario College of Art, dated January 20, 1995, p. 2.
 21. Letter from Timothy Porteous, President, Ontario College of Art, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 13, 1995, p. 1.
 22. Undergraduate Medicine Agreement Between the Minister of Education and Training and The Governing Council of the University of Toronto, July, 1993.
 23. Ontario Council on University Affairs, Advisory Memorandum 94-I, The Allocation of Government's Operating Support for the University System in 1994-95, pp. 12 - 13.
 24. Ontario Council on University Affairs, "Advisory Memorandum 90-XII, Graduate Program Funding 1991-92", Seventeenth Annual Report, 1990-91, p. 367.

rate per BIU in the transition envelope for 1994-95 for the system as a whole.²⁵

Accordingly, Tables 2 and 3 reflect the agreed upon increase in York University's Base BOI with no corresponding increase in its Base BIUs and no adjustment to its Base Formula Fees.²⁶

Finally, the institutional allocations of Formula Grants found in Table 2 also reflect the adjustment to the 10 institutions with Faculties of Education, where the Formula Fees for Additional Qualifications courses are adjusted in the manner outlined in Advisory Memorandum 93-VIII.²⁷ The fee adjustment, which was recommended in that advice, to the 10 universities with Faculties of Education is inflated to reflect the 10.0 per cent increase to Formula Fees in 1995-96.

In its advice on removing \$58.5 million from the funding for Ontario universities and the funding eligibility of Additional Qualifications courses for in-service elementary and secondary school teachers, Council recommended, with respect to the funding eligibility of AQ courses, that:

...for 1994-95, AQ course enrolments remain eligible for counting for funding purposes and that this eligibility be reviewed prior to 1995-96...

and...

If, as a result of the Government's review of in-service teacher education policies, AQ course enrolments become ineligible, then the additional grant reduction to AQ institutions may no longer be effected through formula fee rate increases. If the AQ courses were declared ineligible, then a separate short-term grant reduction envelope would be established for the balance of the phase-out period.²⁸

The Minister responded by stating:

A working group comprised of major stakeholders in the education of teachers in the province will be appointed shortly, to advise the ministry on the best means of ensuring that AQ courses remain available to teachers for professional development purposes. This group will be asked to develop and

25. Letter from Bernard Shapiro, Deputy Minister, Ministry of Colleges and Universities, to Professor Harry W. Arthurs, President, York University, dated May 27, 1991.

26. Letter from Bernard Shapiro, Deputy Minister, Ministry of Colleges and Universities, to Professor Harry W. Arthurs, President, York University, dated February 26, 1991.

The adjustment to York's Basic BOI is calculated as 305.6 BIUs (actual 1993-94 enrolments) x 1994-95 preliminary Transition BIU value minus 305.6 FTEs x Formula Fee rate = \$1,205,201.

27. Ontario Council on University Affairs, "Advisory Memorandum 93-VIII, The Removal of \$58.5 Million from Ontario Institutions Funded Through University Operating Grants and the Funding Eligibility of Additional Qualifications Courses for In-Service Elementary and Secondary School Teachers", Twentieth Annual Report, 1993-94.

This advice was accepted in a letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, February 8, 1994.

28. Ibid., pp. 288-289.

forward to the Ministry an interim strategy for AQ course delivery. It is hoped that the group will report by the end of April, 1994.²⁹

AQ funding eligibility is an issue to all the universities with Faculties of Education. This issue was noted in a submission to Council on the 1995-96 allocations.³⁰ Council recommends that Government clarify this issue for universities to aid in their academic, financial and enrolment planning.

The results of the Formula Grant calculations are found in the first column of grants contained in Table 2. Table 3 details Base BOI, Transition BOI and Total Grants recommended for 1995-96 plus slip-year Regular Formula Fees and the change in relation to 1994-95.

Accordingly, Council *recommends to the Minister:*

OCUA 94-13

FORMULA GRANT ALLOCATION FOR 1995-96

THAT \$1,510,925 million in Formula Grants be made available in 1995-96 to the provincially-assisted universities and their affiliated colleges, the Ontario Institute for Studies in Education, the Ontario College of Art and Dominican College, according to the operating grants formula outlined in Advisory Memorandum 86-VII resulting in the initial allocation indicated in Table 2.

3.2 Transition to New Corridors Grants Funding Envelope

In the institutional responses to Council's request for comments on the 1995-96 allocations, a number of institutions recommended that Council act to rectify existing funding inequities (BOI/BIU) over and above recommending that Council carry through on the full average funding on the Transition to New Corridor BIUs. Council's approach is a middle ground -- that is to increase funding to the Transition to New Corridors Funding Envelope in a manner which results in the student places, funded through this funding, receiving 97 per cent of the full average funding which is provided for through the Formula Grants funding envelope.

Through the Formula Grants funding envelope, each university receives a fixed share of the total of formula operating grants and formula fees, as long as its moving-average enrolments remain within a corridor of enrolments ± 3 per cent of Base BIUs (average of 1983-84, 1984-85 and 1985-86). This share is based on historical levels of enrolment, as well as past and recent funding allocation decisions. Through the Transition to New Corridors Grants funding envelope, institutions are provided with incremental funding for negotiated incremental enrolment targets above the Base BIUs as a result of the 1989-90 Corridor Negotiations process. The enrolments in Transition to New Corridors are scheduled to be fully implemented in the 1995-96 funding year, with full funding to be provided in the 1996-97 funding year.

Through the Transition to New Corridors Grants funding envelope, 45,600 Transition BIUs are to be funded in the 1995-96 funding year. 1995-96 is the sixth of the seven-year period for implementation of Transition to New Corridor funding. Incremental funding, for this funding envelope, is to be provided to ensure that in 1996-97 the rate of funding for Transition BIUs equals that provided for Base BIUs.

29. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, February 8, 1994, p. 1.

30. The University of Toronto stated, "...our main concern is that a very important policy and funding issue remains unresolved, and there is no mention of it so far in the discussion of funding advice for 1995-96." Letter from J. Robert Prichard, President, University of Toronto, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 9, 1995.

Under the corridor funding system, this funding envelope requires additional funds in 1995-96 to phase-in the transition to higher enrolment levels and the value of the BIUs funded in this transition. With the reduction in operating grants of 0.9 per cent for 1995-96, a continuation of the phase-in of funding to new corridor levels requires a redistribution of grants from other funding envelopes.

In developing its recommendation for the allocation of the Transition to New Corridors Grants envelope, Council has taken into consideration the outstanding commitment to equalize the Transition BIU value to the average Base BIU value in 1996-97. Council recognizes that no new funding will be forthcoming to achieve movement towards this commitment in the interim. Council recognizes that the inter-institutional equity issue can partially be addressed by following through on this commitment to equalize the BIU values in 1996-97. Therefore, Council recommends that the disparity between the BIU values be reduced in 1995-96 by increasing the Transition to the New Corridors Grants funding envelope.

Council recommends that the Transition to New Corridors Grants funding envelope be increased by approximately 2.5 per cent in 1995-96 to narrow the difference in the Transition and average Base BIU values. Through this recommendation, Council has resumed the phase-in of additional funding for the phase-in of the target transition BIUs. The funds recommended as Transition to New Corridors Grants in 1995-96 continue the phase-in of target transition BIUs and increase the value of Transition BIUs in relation to the average Base BIU value from 94 per cent in 1994-95 to 97 per cent in 1995-96.

The funds in this funding envelope are allocated according to the "growing" moving-average BIUs of each institution receiving a corridor shift (i.e., the difference between the new moving-average BIUs and current Base BIUs), or the new institutional corridor level. For the 1995-96 funding year, the growing moving-average comprises the five years ending with the 1994-95 enrolment year.³¹ In instances where an institution's moving-average BIUs exceed its New Corridor mid-point BIUs, the institution is funded according to its New Corridor mid-point BIUs rather than its moving-average BIUs.

Accordingly, Council *recommends to the Minister:*

OCUA 94-14

CORRIDOR SHIFT FUNDING FOR 1995-96

THAT \$173.404 million in Transition Grants be made available in 1995-96 to support upward corridor shifts according to that recommended in Advisory Memorandum 90-I, resulting in the initial allocation indicated in Table 2.

31.

Council notes that, for those institutions which have not yet been afforded the protection of their New Corridor mid-point BIUs, the 1994-95 enrolment year is the last enrolment year to be taken into consideration in determining whether an institution meets the accountability provisions to the total target transition BIUs and the priority target transition BIUs. As set out in Advisory Memorandum 90-I, Council recommended: "...that an institution be deemed to be on target if it falls within a certain percentage of its approved objective in that priority area without loss of income. However, if an institution "under-shoots" a target by an amount larger than the error rate it will have the difference between the target level of BIUs and the actual BIUs counted for accountability purposes in that priority area declared ineligible and subtracted from the institution's moving-average BIUs when monitored..."

Ontario Council on University Affairs, "Advisory Memorandum 90-I, Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Corridor Negotiations", Seventeenth Annual Report, 1990-91, p. 69.

4.0 Mission-Related, Institution-Specific Funding Envelopes

This section contains Council's recommendations on the Differentiation Grant to Trent University, the Northern Ontario Grants (Operations and Mission), the Bilingualism Grants and the Extraordinary Grant for Algoma College.

4.1 Differentiation Grant

Council's Advisory Memorandum 80-VI established differentiation grants as a new category of funding intended to assist institutions which accept a clearly differentiated role by demonstrating their intention to pursue their academic strengths efficiently and effectively, and require additional support to do so.³² Trent University is the only institution to have received a Differentiation Grant.

In Advisory Memorandum 89-IV, Council recommended that "...the grant level should be reviewed in four to six years, after Trent receives and reaches a new corridor level and its new capital facilities have come on stream." Trent was afforded the protection of its new corridor in fiscal year 1993-94 and the capital facilities referred to in Advisory Memorandum 89-IV, the Environmental Science building, are in place. In Advisory Memorandum 94-I, Council recommended that a review of the Differentiation Grant be postponed until after completion of the Resource Allocation reference.³³

A request to be considered for this grant was made by Nipissing University as part of its response to Council's request for comments on the 1995-96 allocations. Nipissing University noted that it is at a different "development" stage than other universities in Ontario. Nipissing received its charter in December, 1992. Nipissing requests that since "...Nipissing University and Trent University share similar missions with regard to undergraduate and small class perspective and consequently, [Nipissing] should be given a similar "differentiation" grant."³⁴ Council notes that there have been similar requests by other institutions. Brock University, in its response to Council's request for comments on the 1995-96 allocations, noted the funding inequities of the current funding system stating that "We are raising this issue again in view of the increase to Special Purpose Grants and the continuation of such special allocations as the Differentiation Grant."³⁵ In the past, the Ontario College of Art has requested that it be considered for a Differentiation Grant. Given these comments, Council believes that this category of grant needs to be reviewed subsequent to the outcome of the current Resource Allocation Review, at which time such requests could be evaluated.

In 1989, Council initiated a thorough study to identify and estimate the incremental cost of Trent's differentiation. The results are outlined in Advisory Memorandum 89-IV.³⁶ Based on the findings of Council's study, it recommended that the level of the Differentiation Grant should reflect the annual change in Formula Grants. In accordance with that advice, Council recommends

32. Ontario Council on University Affairs, "Advisory Memorandum 80-VI, The Allocation of the Government's Operating Support for the University System in 1981-82", Seventh Annual Report, 1980-81, pp. 131-132.

33. Ontario Council on University Affairs, Advisory Memorandum 94-I, The Allocation of Government's Operating Support for the University System in 1994-95, p. 16.

34. Letter from Dr. D. Marshall, President and Vice Chancellor, Nipissing University, to Professor Joy Cohnstaedt, dated March 15, 1995, p. 2.

35. Letter from Dr. T. H. White, President, Brock University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 17, 1995.

36. Ontario Council on University Affairs, "Advisory Memorandum 89-IV, Trent University Differentiation Grant Review", Sixteenth Annual Report, 1989-90, pp. 141-146.

that the level of the Differentiation Grant be decreased by 1.3 per cent to \$1.608 million in 1995-96.

Accordingly, Council *recommends to the Minister:*

OCUA 94-15

DIFFERENTIATION GRANT FOR TRENT UNIVERSITY 1995-96

THAT a Differentiation Grant of \$1,608,000 be made to Trent University in 1995-96.

4.2 Northern Ontario Grants

In Advisory Memorandum 88-III,³⁷ Council reviewed the level and allocation of the Northern Ontario Grants. The review confirmed the then existing funding procedures and identified two types of grants which would continue for Northern institutions:

- Northern Ontario Operations Grants to provide for the costs of operating "in the North"; and
- Northern Ontario Mission Grants to provide for the costs of "for the North" services.

4.2.1 Northern Ontario Operations Grants

The findings of Council's Northern Ontario Grants review in 1988 generally confirmed the grant levels generated by the "mini-formulae", as outlined in Advisory Memorandum 88-III, which estimated the incremental costs of institutions operating in the North. The formula was modified slightly in Advisory Memorandum 88-III to recognize the impact of the corridor funding system.³⁸ Pursuant to the recommendations contained in that advice, the values of the Northern Ontario Operations Grants for each of the institutions fully reflected the "mini-formulae" up to and including the 1991-92 fiscal year.

In 1992-93, the "mini-formulae" were adjusted as a result of the low overall operating grant increase made available in that year.³⁹ For 1993-94 and 1994-95, given the decline in funds available to be allocated among grants on which it advised, Council recommended a reduction to this envelope in both years consistent with the overall reduction in funds available for allocation to this and other funding envelopes.

Council notes that concerns regarding the suspension of the "mini-formulae" have been raised by the Northern institutions, most recently in response to Council's request for comments on the 1995-96 allocations. In its submission to Council, Lakehead University stated:

The northern operating and mission grants have recognized both the special mission and different responsibilities and role of universities in the north as well as the costs of operating related to geography. Both across-the-board cuts and the discontinuation of the "mini-formula" allocation method to these

37. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89.

38. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89, pp. 53-66.

39. Ontario Council on University Affairs, "Advisory Memorandum 91-XII, The Allocation of the Government's Operating Support for the University System in 1992-93", Eighteenth Annual Report, 1991-92, p. 280.

grants have had a serious impact on our ability to serve northwestern Ontario.⁴⁰

Council notes that the fit between this category of operating grants and the outcome of the current Resource Allocation Review will need to be reviewed when the outcome of that review is known. Until that time, the suspension of the mini-formula will be maintained.

Consistent with the decline in funds available for Council allocation in 1995-96, it recommends that this envelope should reflect the 1.3 per cent decline in the Formula Grants envelope in 1995-96.

Accordingly, Council *recommends to the Minister:*

OCUA 94-16

NORTHERN ONTARIO OPERATIONS GRANTS 1995-96

THAT \$7.670 million in Northern Ontario Operations Grants be made available in 1995-96 in the following amounts:

Lakehead	\$3,245,000
Laurentian	3,131,000
Algoma	249,000
Laurentian (Algoma)	76,000
Hearst	212,000
Nipissing	757,000

4.2.2 Northern Ontario Mission Grants

The original allocation and eligible expenditures associated with the Northern Ontario Mission Grants were established in Advisory Memorandum 88-III.⁴¹ Council reviewed the Northern Ontario Mission Grants envelope in 1992-93. Council's findings, as a result of that review, are contained in Advisory Memorandum 92-XI.⁴² Council notes that the Minister accepted its advice with respect to Northern Ontario Mission Grants with the proviso that the Ministry would "...perform both the pre- and post-fiscal year approval and monitoring process, according to the guidelines proposed by OCUA."⁴³

In line with the overall decline in funds available, Council recommends reducing the Northern Ontario Mission Grants to reflect the same rate of decline, 1.3 per cent, as the Formula Grants funding envelope, and that these grants be distributed in the same proportions as determined for the Northern Operations Grants.

40. Letter from Dr. R.G. Rosehart, President, Lakehead University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 17, 1995, p. 1.

41. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89, p. 63.

42. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 319 - 322.

43. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 3.

Accordingly, Council *recommends to the Minister:*

OCUA 94-17

NORTHERN ONTARIO MISSION GRANTS 1995-96

THAT for 1995-96, Northern Ontario Mission Grants of \$2,696,000 be made in the following amounts:

Lakehead	\$1,141,000
Laurentian	1,100,000
Algoma	87,000
Laurentian (Algoma)	27,000
Hearst	75,000
Nipissing	266,000

4.3 Bilingualism Grants

Bilingualism Grants are provided to bilingual universities in Ontario in recognition that universities, providing ongoing bilingual services, incur costs in excess of the normal operating costs for comparable size unilingual universities in specified areas.

Council reported on the results of the study of incremental costs associated with bilingualism in Ontario universities in Advisory Memorandum 89-III.⁴⁴ Based on 1987-88 data, the study indicated that the total cost of bilingualism activities was \$21.221 million in that year. In Advisory Memoranda 89-VI⁴⁵ and 90-IV⁴⁶, Council recommended that additional funding be provided to fund the estimated shortfall in Bilingualism Grants. In 1991-92, Council was asked to consider the funding shortfall in determining an appropriate level for these grants in that year. The \$25.7 million, that Council recommended in 1991-92, eliminated then existing shortfalls by providing for the full estimated incremental costs of operating bilingual programs.

Council recommends \$23.323 million be made available for allocation in 1995-96, which represents an allocation level 1.3 per cent lower than the 1994-95 level, consistent with the decline in the Formula Grants funding envelope. Council further recommends that it be allocated according to the incidence of incremental bilingualism costs as identified in Advisory Memorandum 89-III.

Council notes that, in response to its request for comments on the 1995-96 allocations, Dominican College brought to Council's attention its formal request to the Ministry, dated December 23, 1994, to have its undergraduate bilingual program in Philosophy eligible for Bilingualism grants in 1995-96.⁴⁷ On March 17, 1995, Council received a reference from the Minister of Education and Training with respect to Dominican's request for a Bilingualism grant. In that letter, the Minister stated:

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44. Ontario Council on University Affairs, "Advisory Memorandum 89-III, The Allocation of the Government's Operating Support for the University System in 1989-90", Sixteenth Annual Report, 1989-90, pp. 128-130.
45. Ontario Council on University Affairs, "Advisory Memorandum 89-VI, Government Support of the University System in 1990-91", Sixteenth Annual Report, 1989-90, p. 189.
46. Ontario Council on University Affairs, "Advisory Memorandum 90-IV, Government Support of the University System in 1991-92", Seventeenth Annual Report, 1990-91, pp. 135-136.
47. Letter from Michel Gourgues, President, Dominican College, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 13, 1995.

In accordance with past practices, I am referring this request to OCUA. I am asking that OCUA, in consultation with FOETC, review the appropriateness of adding this university-level institution to those who already receive bilingualism grants. If OCUA and FOETC recommend the inclusion of Dominican College, I would then expect a recommendation as to the terms, conditions, amount and timing for funding.⁴⁸

Council notes that if, as a result of its review of Dominican's request, funding is required for Dominican's undergraduate bilingual program in Philosophy, then such funding will need to be provided for from the contingency funds identified by Council in this advice.

Accordingly, Council *recommends to the Minister:*

OCUA 94-18

BILINGUALISM GRANTS 1995-96

THAT \$23.323 million in Bilingualism Grants be made available in 1995-96 in the following amounts:

Laurentian University	3,980,000
Sudbury (Laurentian University)	213,000
Hearst College	153,000
University of Ottawa	15,381,000
St. Paul (University of Ottawa)	1,598,000
Glendon (York University)	1,998,000

4.4 Extraordinary Grant for Algoma College

In Advisory Memorandum 88-VIII, Council recommended that Algoma College receive an Extraordinary Operating Grant to help address the apparent "structural" deficit of the College.⁴⁹ For 1989-90, Council recommended, in Advisory Memorandum 89-III⁵⁰, that an Extraordinary Grant of \$760,000 be provided to Algoma College to address the College's estimated structural imbalances. In addition, a cost study was undertaken in 1990 to determine how closely the Extraordinary Grant reflected Algoma's true structural deficit. The findings of that cost review were reported in Advisory Memorandum 90-VII. In the review, Council found the original Grant level of \$760,000 to closely approximate the College's scale-related extraordinary costs. Council concluded that the College's Extraordinary Grant be held constant at \$760,000 for the 1990-91, 1991-92 and 1992-93 funding years. Council also recommended that the appropriateness of the level of the Extraordinary Grant, and the supporting confirmatory methodology, be re-examined prior to determining funding needs beyond 1992-93.

48. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 17, 1995, p. 1.

49. Ontario Council on University Affairs, "Advisory Memorandum 88-VIII, Mission, Programs and Funding for Algoma College", Fifteenth Annual Report, 1988-89, pp. 125-126.

50. Ontario Council on University Affairs, "Advisory Memorandum 89-III, The Allocation of the Government's Operating Support for the University System in 1989-90", Sixteenth Annual Report, 1989-90, p. 131.

Council's findings with respect to the review of the Algoma Extraordinary Grant, which it recommended in Advisory Memorandum 90-VII, are set out in Advisory Memorandum 92-XI.⁵¹ In this review of the Algoma Extraordinary Grant, Council found that the College's enrolments had grown to a more viable size since the 1990 review and, on that basis, extraordinary costs had declined. Therefore, Council initially recommended that the Extraordinary Grant to Algoma College be reduced to a level of \$706,000 for 1993-94, and in doing so, Council extended the agreement on this Grant by one additional year to the end of 1993-94. Subsequent to Council's initial 1993-94 allocative advice, it was asked to recommend on two additional cuts. The application of these general cuts to the Extraordinary Grant resulted in a 1993-94 final allocation of \$665,000. In 1994-95, Council recommended that the Algoma Extraordinary Grant reflect the reduction to the Formula Grants funding envelope and that \$653,000 be made available.

In its 1994-95 allocative advice, Council indicated that it would be providing advice on the feasibility of transferring over some level of the Extraordinary Grant to the College's base funding. Council now recommends that such a review be deferred pending the outcome of its Resource Allocation Review, on which it will be providing advice to the Minister this Spring. In the interim, Council recommends that the Extraordinary Grant reflect the reduction in the Formula Grants envelope.

Accordingly, Council *recommends to the Minister:*

OCUA 94-19

ALGOMA COLLEGE EXTRAORDINARY FUNDING 1995-96

THAT an Extraordinary Grant of \$645,000 be allocated to Algoma College for 1995-96.

5.0 Other Operating Grants

5.1 Research Overheads/Infrastructure Funding Envelope

In Advisory Memorandum 87-XV⁵², Council reviewed the mechanism used to allocate the Research Overheads/Infrastructure Funding Envelope. It recommended that the envelope be allocated on the basis of each institution's proportionate share of total peer-adjudicated research funding awarded to Ontario universities by the Medical Research Council (MRC), the Natural Sciences and Engineering Research Council (NSERC) and the Social Sciences and Humanities Research Council (SSHRC), calculated annually using a three-year moving-average.

Issues regarding the funding of the overhead costs of research have been raised in the past, and most recently in response to Council's recent request for comments on issues relating to the 1995-96 allocations. In its response to Council's request for comments on issues relating to the 1995-96 allocations, Lakehead University argued:

Perhaps the most striking inequity in the university system and the one that troubles us the most can be found in the support for the research mandate of universities. We have often commented on the inequities of the Research Infrastructure Envelope and how we feel it does not serve the emerging institutions adequately. Institutions which first acquire support for their activities from the federal Research Granting Councils are able to add to this

51. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 323-326.

52. Ontario Council on University Affairs, "Advisory Memorandum 87-XV, Research Overheads/Infrastructure Funding Envelope Allocative Mechanism", Fourteenth Annual Report, 1987-88, pp. 211-222.

support through the Research Infrastructure Envelope. In addition, these same institutions are already receiving extensive funding from the province through highly weighted graduate programs particularly at the PhD level which again supports research activities. This "triple dipping" comes at the expense of the younger institutions which are struggling to develop both graduate and research activity in a rapidly changing environment with inequitable resources.⁵³

In the past, submissions by other institutions to Council during its review of the allocative mechanism of the Research Overheads/Infrastructure Funding Envelope in 1987-88⁵⁴ argued for more adequate coverage of the overhead costs of research.

In a submission to Council for purposes of its Resource Allocation Review, the University of Toronto proposed a number of alternatives for enlarging the Research Overheads/Infrastructure funding envelope. The University of Toronto argued that:

... an enlarged Research Infrastructure Fund would not necessarily be to the advantage only of research intensive universities; it would allow other universities to attract research funding without distorting their missions by adding doctoral programs which are unnecessary or which they otherwise do not need to fulfil their missions.⁵⁵

Council notes that its mandate in the Resource Allocation Review includes this funding envelope.

Council recommends \$27.477 million be made available in 1995-96 for this envelope, which reflects the 1.3 per cent decrease for the Formula Grants funding envelope. These grants are allocated according to each institution's share of the three major federal granting councils' peer-adjudicated research grants for 1991-92, 1992-93 and 1993-94.

Accordingly, Council *recommends to the Minister:*

OCUA 94-20

RESEARCH OVERHEADS/INFRASTRUCTURE FUNDING GRANTS
1995-96

THAT \$27.477 million in Research Overheads/Infrastructure Funding Grants be made available in 1995-96 according to the amounts indicated in Table 2.

5.2 International Graduate Student Differential Fee Waivers

Council outlined its advice on procedures for allocating Government's contribution to international graduate student Differential Fee Waivers in Advisory Memorandum 88-V.⁵⁶ This advice confirmed the existing practice where Waivers were allocated among Ontario universities

53. Letter from Robert G. Rosehart, President, Lakehead University, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, March 17, 1995, p. 2.

54. Ontario Council on University Affairs, "Advisory Memorandum 87-XV, Research Overheads/Infrastructure Funding Envelope Allocative Mechanism", Fourteenth Annual Report, 1987-88, pp. 211-222.

55. University of Toronto, Response to the OCUA Discussion Paper Sustaining Quality in Changing Times, Funding Ontario's Universities, October, 1994, pp. 18-19.

56. Ontario Council on University Affairs, "Advisory Memorandum 88-V, International Graduate Student Differential Fee Waivers", Fifteenth Annual Report, 1988-89, pp. 85-89.

according to each institution's slip-year three-year average of full-time graduate student enrolment, subject to a minimum of not less than three Waivers for any institution with graduate enrolment.

Council is concerned with the adequacy of coverage provided by the Differential Fee Waiver given the high fee levels that are charged to non-exempt international graduate students. For 1995-96, an international graduate student in all programs other than Theology will be paying \$1,089 in regular fees plus \$3,912 in additional fees, for a total of \$5,001 per term (excluding the 13 per cent discretionary fees that institutions are free to charge over and above these formula fees) or \$15,003 for three terms. When the Differential Fee Waiver was introduced by the Minister in 1987, the \$5,000 provided covered over 77 per cent of the additional fee charged to international graduate students. Since the introduction of the Differential Fee Waiver, the coverage provided by that Waiver has dropped significantly.⁵⁷ In its 1994-95 allocative advice, Council recommended "...that a review be undertaken to determine an appropriate level of the waiver in the future."⁵⁸ In response to this recommendation the Minister stated "Rather than review the graduate student waiver program in isolation, I would prefer to leave this program for the time being."⁵⁹

On the issue of fees charged to international graduate students, the Council of Universities of Ontario (COU) recently provided a document to the Minister entitled, "A New Model for International Graduate Student Tuition Fees in Ontario Universities", a discussion paper prepared by a joint committee from the Ontario Council on Graduate Studies and the Council on University Planning and Analysis.⁶⁰ The study provides analysis of the current fee and exemption policies for international graduate students. The study recommends:

... that the Minister of Education and Training consider the introduction of a new system of international graduate student fees as follows (1993-94 tuition values):

1. ➤ That the full graduate fee be set at \$3,233 per term (\$9,699 per year),
- that annual fee increases be limited to the monetary value of the annual increase in domestic graduate fees, and
- that the absolute monetary value of the international graduate student differential fee be re-evaluated by OCUA at 5-year intervals with particular consideration given to similar fees at other Canadian and North American universities.
2. ➤ That exempt international graduate students and those holding Ontario Fee Waivers be charged a reduced fee of \$1,400 per term (\$4,200 per year), and

57. By 1994-95, the coverage provided by the Differential Fee Waiver for the additional three-term fees had shrunk to 49 per cent.

58. Ontario Council on University Affairs, Advisory Memorandum 94-I, The Allocation of Government's Operating Support for the University System in 1994-95, p. 26.

59. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 23, 1994, p. 2.

60. Council of Ontario Universities, A New Model for International Graduate Student Tuition Fees in Ontario Universities, A Proposal to the Minister of Education and Training, December 12, 1994.

- that the value of this differential fee be re-evaluated by OCUA at 5-year intervals.
- 3. ➤ That the discretionary component of Ontario graduate fees be increased from 13% to 30%.⁶¹

On the issue of exemptions to the differential fees for international graduate students, the COU study points out that:

The number and diversity of criteria for exemptions [to the additional formula fee for international graduate students] have grown substantially in the 16 years since the introduction of the differential fee. The original Ministry Operating Grants Manual (1982) included eight such categories; the most recent (1993) includes eighteen... The majority of the categories of exemptions can be traced to federal government bilateral agreements rather than provincial initiatives or policy. Holders of these exemptions must meet normal admission standards but, in contrast to all other exempted students, these exemptions are not competitively assigned on the basis of academic qualifications. There is no ceiling on the number of such exemptions nor are they allocated in a systematic fashion to individual universities.⁶²

and...

According to MCU records, a total of 2,707 or 83 per cent of all international students in Ontario in 1981 paid full fees. Ten years later, in the fall of 1991, after the imposition of the substantially higher additional fee in 1982, the number of international students paying full fees had fallen by 48 per cent to 1,412 students, representing only 25 per cent of the total international enrolment...In large part, this decrease can be attributed to the uncontrolled proliferation of individual exemptions and the introduction of fee waivers in 1987.⁶³

Council considers COU's study to be a very useful document and an excellent starting point for a future review of this funding envelope. Council recommends that, on completion of its Resource Allocation Review, this funding envelope be reviewed and the issue of fees for international undergraduate also be considered.

Council notes that the overall reduction in grants available in 1995-96 combined with the fee increase will again have an adverse effect on the coverage provided by the Fee Waiver, and will require universities to further increase foregone revenue associated with these students. Council recommends that this envelope be protected from further cuts this year and maintained at its 1994-95 level of \$5.326 million. Even with this protection, the share of differential fees covered will fall to 45 per cent.

For 1995-96, the Government has made available 1,000 International graduate student Differential Fee Waivers. Council recommends that these be funded at a rate of \$5,326 per Waiver in 1995-96, and that these grants be allocated according to the procedures outlined in Advisory Memorandum 88-V.

61. Ibid., p. 1.

62. Ibid., p. 5.

63. Ibid., p. 9.

Accordingly, Council *recommends to the Minister:*

OCUA 94-21

**INTERNATIONAL GRADUATE STUDENT DIFFERENTIAL FEE
WAIVER SUPPORT 1995-96**

THAT \$5.326 million, in International Graduate Student Differential Fee Waiver Grants, be made available in 1995-96 according to the amounts indicated in Table 2.

5.3 Enhanced Accessibility for Students with Disabilities Funding Envelope

On April 20, 1988, the Minister of Colleges and Universities requested "Council's early advice on programs to promote access for the underrepresented groups", and announced that \$4.0 million from the Accessibility Envelope would be set aside for that purpose.⁶⁴ In Advisory Memorandum 88-IX, Council stated that the \$4.0 million should be made available to enhance access for disabled students.⁶⁵ Council recommended in that Memorandum that the allocation be annual and ongoing, based on each institution's share of Base BIUs subject to a funding floor provision.

In its 1992-93 allocative advice, Council recommended a review of this envelope to evaluate the effectiveness of the current distribution mechanism.⁶⁶ The Minister of Education and Training concurred with that advice and Council completed a review of this envelope in 1993.⁶⁷ Council recommended that the distribution mechanism be changed from Base BIUs to a three-year moving-average of eligible FTEs slipped one year for a two-year period, while it conducts a review to "determine the feasibility of basing the distribution mechanism in some manner on the numbers of and/or services to students with disabilities."⁶⁸ The Minister accepted Council's advice and asked it to proceed with the recommended review of this funding envelope.⁶⁹ The 1995-96 funding year is the second year of the two-year interim period. This review is currently under way.

Council recommends that for 1995-96 the level of the Enhanced Accessibility for Students with Disabilities Funding Envelope be maintained at 1994-95 level, consistent with the priority that Council attaches to this funding envelope.

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64. Letter from the Honourable Lyn McLeod, Minister of Colleges and Universities, to Dr. P. Fox, Chairman, Ontario Council on University Affairs, April 20, 1988.
65. Ontario Council on University Affairs, "Advisory Memorandum 88-IX, Enhancing Access for Disabled Students to Ontario Universities", Fifteenth Annual Report, 1988-89, pp. 129-141.
66. Ontario Council on University Affairs, "Advisory Memorandum 91-XII, The Allocation of the Government's Operating Support for 1992-93", Eighteenth Annual Report, 1991-92, p. 287.
67. Ontario Council on University Affairs, "Advisory Memorandum 93-III, Review of the Distribution Mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope", Twentieth Annual Report, 1993-94, pp. 199-214.
68. Ontario Council on University Affairs, "Advisory Memorandum 93-III, Review of the Distribution Mechanism for the Enhanced Accessibility for Students with Disabilities Funding Envelope", Twentieth Annual Report, 1993-94, p. 199.
69. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, June 24, 1993, p. 3.

Accordingly, Council *recommends to the Minister:*

OCUA 94-22

**ALLOCATION OF ENHANCED ACCESSIBILITY FOR STUDENTS WITH
DISABILITIES FUNDING ENVELOPE 1995-96**

THAT the level of the funding envelope be \$4,892,000.

6.0 Conclusion

Council has recommended an approach to narrowing the funding differential between student places funded through the Base funding, and student places funded through the Transition to New Corridors funding, that tempers disruption to institutional funding stability. Council has recommended that the Transition BIU value be increased from 94 per cent of the Base BIU value to 97 per cent. Council also recommends proportionate reductions to all other funding envelopes with the exception of two, the Enhanced Accessibility for Students with Disabilities and the International Graduate Student Differential Fee Waivers. Council has taken an approach which partially addresses the outstanding commitment on the Transition to New Corridors funding envelope, and which neither prejudices nor steers the outcome of the Resource Allocation Reference, on which Council will be providing advice to the Minister of Education and Training this Spring.

For the 1995-96 funding year, the total of grants allocated by Council and slip-year formula fees at 1995-96 rates increased at 1.1 per cent. Council notes that, even with the funding provided for the 377,181 BIUs in the base through the Formula Grants funding envelope and the funding provided for the 45,600 BIUs in the Transition to New Corridors funding envelope, there continues to be 18,964 unfunded BIUs (as of the 1994-95 enrolment year). These enrolments are funded only through the fees collected.

Council notes there are a number of issues that have been raised concerning the funding envelopes which have not been reviewed by Council as part of its Resource Allocation Review. These include:

- a request for a Differentiation Grant by one institution, and concern expressed regarding the continuation of this envelope by another institution;
- a request that the "mini-formula" for the Northern Operations Grants be restored; and
- a request for a Bilingualism Grant.

Council recommends that, subsequent to the outcome of the current Resource Allocation Review, the other funding envelopes which have not been part of Council's Resource Allocation Review be reviewed to determine their fit with the future funding mechanism.

Table 2 summarizes the distribution of grants based on the recommendations contained in this Memorandum. It documents, by institution, the Formula Grants, Transition to New Corridors Grants, the Mission-Related, Institution-Specific Grants and the Other Operating Grants recommended by Council for 1995-96, along with the preliminary 1994-95 allocations to the grants recommended in those categories and the percentage changes between the two years.

Table 3 summarizes the distribution of BOI. This table details, by institution, both Base BOI and current funding year BOI (1995-96 grants allocated plus slip-year Formula Fees that reflect 1995-96 fee rates), and the percentage changes between 1994-95 and 1995-96.

Joy Cohnstaedt,
Chair

March 31, 1995

Table 2

Distribution of Grants Generated by Recommendations in Advisory Memorandum 94-III

(\$'000)

1995-96 Recommendations

Institution	ENROLLMENT-BASED FORMULA GRANTS		MISSION-RELATED, INSTITUTION-SPECIFIC					OTHER OPERATING GRANTS					Contin- gency Provision	Total Grants Recom- mended	Preliminary OCUA Allocations in 1994-95	Percent- age Change
	Formula Grants	Transition to New Corridors Grants	Northern Operations Grants	Northern Mission Grants	Bilin- gualism Grants	Differen- tiation Grants	Extra- ordinary Grants	Research Overheads/ Infrastruc- ture Grants	Int'l Graduate Student Differential Fee Waivers	Enhanced Accessibility w/Disabilities						
Brook	30,489	8,880						193	21	141			39,724	40,160	(436)	-1.1%
Carleton	74,105	14,889						1,039	373	296			90,702	91,542	(840)	-0.9%
Guelph	92,215	6,594						1,798	330	228			101,165	101,908	(743)	-0.7%
Lakehead	24,246	2,214	3,245	1,141				132	43	112			31,133	31,600	(467)	-1.5%
Laurentian	22,873	8,332	3,131	1,100	4,193			123	27	111			39,890	40,338	(448)	-1.1%
Algoma	1,658	1,006	249	87			645			90			3,735	3,642	93	2.6%
Laurentian (Algoma)	480	114	76	27									697	812	(115)	-14.2%
Hearst	773		212	75	153			3,110	346	256			1,273	1,356	(83)	-6.1%
McMaster	99,686	9,381											112,779	113,556	(777)	-0.7%
Nipissing	5,196	2,144	757	266				1,985	506	334			8,453	8,638	(185)	-2.1%
Ottawa	113,360	17,552			16,979			2,419	463	263			150,716	151,853	(1,137)	-0.7%
Queen's	104,431	15,380						31		239			122,956	123,584	(628)	-0.5%
Ryerson	62,963	2,806						9,908	1,385	736			66,039	67,127	(1,088)	-1.6%
Toronto	329,351	22,468											363,848	367,343	(3,495)	-1.0%
Trent	16,187	5,044				1,608		159	27	90			23,115	23,390	(275)	-1.2%
Waterloo	116,154	7,437						2,242	389	305			126,527	127,856	(1,329)	-1.0%
Western	154,027	3,983						2,697	501	430			161,638	163,907	(2,269)	-1.4%
Wilfrid Laurier	29,856	5,833						99	96	119			36,003	36,490	(487)	-1.3%
Windsor	62,697	4,442						424	149	219			67,931	68,830	(899)	-1.3%
York	139,650	32,897			1,998			1,012	463	533			176,553	177,376	(823)	-0.5%
OISE	21,238	2,008						106	202	90			23,644	23,520	124	0.5%
OCA	9,189									90			9,279	9,405	(126)	-1.3%
Dominican	101								5	60			166	176	(10)	-5.5%
Total	1,510,925	173,404	7,670	2,696	23,323	1,608	645	27,477	5,326	4,892		500	1,757,966	1,774,409	(16,443)	-0.9%

NOTES:

- Dominican College receives 50% funding. The theology schools receiving 100% funding are included with the parent institutions.
- Bilingualism grants for affiliated institutions are included with the parent institutions.
- The Preliminary OCUA Allocations in 1994-95 reflect the allocations to Formula (prior to foreign fee adjustments), Transition, Northern Operations & Mission, Bilingualism, Differentiation, Algoma Extraordinary, Research Overheads/Infrastructure, International Graduate Student Differential Fee Waivers, and the Enhanced Accessibility for Students with Disabilities.
In 1995-96, Base BOI increases by 1.3%; this includes the \$7.68 million fee adjustment relating to Additional Qualifications for the 10 universities with Facilities of Education.
- Formula Grants have been distributed on the basis of BOI shares adjusted to reflect the Strategic Corridor reduction to University of Toronto's Base BOI based on 1993-94 enrolments in the MBA program and the medicine enrolments, July, 1993, and York University's 905.6 BIU enrolments in its International Master's of Business Administration program. In 1991, the Ministry agreed to adjust York's Base BOI based on 1993-94 enrolments in the MBA program and the 1994-95 Transition BIU value.
- Formula Grants for Hearst College and the Ontario College of Art have been calculated on a moving average basis. OCA's moving average BIUs are 2 BIUs below the lower limit of their adjusted corridor of 2,500 BIUs, and the moving average BIUs for Hearst College are 16 BIUs below the lower limit of their current corridor.
- The Transition BIUs used to calculate the 1995-96 allocations do not reflect any redistribution of Transition BIUs as a result of institutions not meeting target BIU allocations.

Table 3

Distribution of Formula Grants, Base BOI, Transition BOI and Total Grants Recommended Plus Slip-Year Formula Fees at 1995-96 Rates (\$'000)

Institution	FORMULA GRANTS			BASE BOI			TRANSITION BOI			GRANTS & SLIP-YEAR FEES AT CURRENT YEAR RATES		
	Preliminary 1994-95 (prior to foreign fee adjustment)	Recommended 1995-96	Percentage Change	Preliminary 1994-95 (prior to foreign fee adjustment)	Recommended 1995-96	Percentage Change	Preliminary 1994-95	Recommended 1995-96	Percentage Change	Preliminary 1994-95 (prior to foreign fee adjustment)	Recommended 1995-96	Percentage Change
Brock	31,131	30,489	-2.1%	43,173	43,734	1.3%	11,845	12,343	4.2%	57,112	57,737	625
Carleton	75,294	74,105	-1.6%	100,220	101,523	1.3%	20,927	21,806	4.2%	127,551	129,463	1,912
Guelph	93,041	92,215	-0.9%	116,449	117,964	1.3%	8,380	8,732	4.2%	129,470	130,367	897
Lakehead	24,685	24,246	-1.8%	33,425	33,859	1.3%	3,365	3,507	4.2%	44,677	45,890	1,213
Laurentian	23,336	22,873	-2.0%	32,143	32,561	1.3%	11,479	11,961	4.2%	53,448	54,424	976
Algoma	1,692	1,658	-2.0%	2,371	2,341	1.3%	1,273	1,523	19.6%	4,818	4,946	127
Laurentian (Algoma)	494	480	-2.8%	739	748	1.3%	268	191	-28.7%	1,169	1,091	(78)
Hearst	851	773	-9.2%	1,138	1,074	-5.7%				1,574	1,496	(78)
McMaster	100,639	99,686	-0.9%	126,632	128,279	1.3%	11,958	12,460	4.2%	144,820	146,304	1,684
Nipissing	5,317	5,196	-2.3%	7,509	7,606	1.3%	3,223	3,358	4.2%	12,665	12,789	124
Ottawa	114,753	113,360	-1.2%	147,923	149,847	1.3%	21,746	22,659	4.2%	191,853	192,934	1,081
Queen's	105,398	104,431	-0.9%	132,267	133,988	1.3%	18,455	19,230	4.2%	155,764	157,650	1,886
Ryerson	64,125	62,963	-1.8%	87,065	88,197	1.3%	3,832	3,993	4.2%	94,630	97,326	2,696
Toronto	333,898	329,351	-1.4%	415,192	418,568	0.8%	27,934	29,107	4.2%	456,219	459,048	2,829
Trent	16,561	16,187	-2.3%	23,333	23,636	1.3%	6,659	6,939	4.2%	32,848	33,121	272
Waterloo	117,637	116,154	-1.3%	152,274	154,254	1.3%	8,162	8,504	4.2%	165,258	166,319	1,061
Western	156,041	154,027	-1.3%	202,506	205,139	1.3%	6,900	7,190	4.2%	214,994	217,330	2,337
Wilfrid Laurier	30,487	29,856	-2.1%	42,291	42,841	1.3%	7,534	7,850	4.2%	50,424	50,843	419
Windsor	63,621	62,697	-1.5%	83,757	84,846	1.3%	7,124	7,423	4.2%	94,296	95,926	1,630
York	141,179	139,650	-1.1%	193,892	197,635	1.9%	41,682	43,432	4.2%	240,528	242,714	2,186
OISE	21,219	21,238	0.1%	24,166	24,480	1.3%	2,129	2,218	4.2%	26,970	27,348	378
OCA	9,315	9,189	-1.4%	13,064	13,345	2.2%				13,007	13,129	122
Dominican	111	101	-9.0%	248	252	1.3%				335	354	19
TOTAL	1,530,825	1,510,925	-1.3%	1,981,746	2,006,747	1.3%	224,874	234,425	4.2%	2,314,229	2,338,549	24,320

NOTES:

- 1994-95 Base BOI consists of Preliminary Formula Grants (prior to foreign fee adjustments) plus Base Fees at 1994-95 rates, plus the Base Fee adjustment relating to the Additional Qualifications courses. The 1995-96 Base BOI consists of Formula Grants recommended plus Base Fees at 1995-96 rates plus the Base Fee adjustment relating to AQs. For OCA and Hearst, the BOI shown is moving-average BOI since enrolments for these institutions are below their respective corridors. OCA's BOI has increased slightly reflecting the fact that its moving-average enrolments for the 1995-96 funding year are higher in comparison to 1994-95.
- Shares of Base BOI for all institutions have been adjusted to reflect the strategic corridor reduction to the University of Toronto's base factors and the permanent accommodation of York University's International MBA program.
- Directly funded Transition BOI for Algoma College reflects that institution's growth towards its new corridor BIUs. Moving-average enrolments at other institutions had previously achieved new corridor levels.

RESOURCE ALLOCATION REVIEW

**Sustaining Quality in Changing Times
Funding Ontario Universities**

August 1994

FOCUSING QUESTIONS

With this document, the Ontario Council on University Affairs, in exploring ways of sustaining quality in the university system in changing times, puts forward for discussion and reaction some possible approaches which could be taken on the part of universities or government or both. The Council has developed the following questions in order to provide focus to its consultations and to assist its further deliberations:

1. What changes are necessary to sustain quality while responding to the environmental pressures faced by universities? How could the various constituents within universities -- students, staff, faculty, administrators and members of governing bodies -- contribute to achieving these changes? What role could the funding allocation system play in enabling change?
2. How can the university system accommodate a significant increase in enrolment demand as well as the changing demography of the student population? What are the implications for the funding allocation system?
3. In a period of constant or reduced public resources, what approaches (technological and other innovative practices, greater focusing of resources, and/or other sources of funds) could be employed to maintain or improve quality in the performance of teaching, research and community service?
4. In order to respond to changing demand, should the balance among teaching, research and community service be altered? If so, what form of differentiation in roles would be appropriate? Should it be at the level of the institution, academic unit or individual faculty member? Should the funding allocation system be changed to enable any such shifts?
5. What approaches could be taken to academic restructuring and professional program rationalization, and what role should the funding system play?
6. What approaches could be taken to enhancing administrative and decision-making practices in order to achieve economy, effectiveness and efficiency while maintaining quality, and what role should the funding allocation system play?
7. How can accountability mechanisms associated with the funding allocation system be strengthened? Does the Ontario Government need to be clearer about what it expects for its funding?
8. What are the advantages and disadvantages of each of the three funding allocation models outlined in Section 5? What is the most appropriate funding allocation model and which objectives would it address?

1.0 Introduction

In November, 1993, the Minister of Education and Training asked the Ontario Council on University Affairs (OCUA) to review the current funding mechanism for universities in the province.¹ In conducting this review, the Council was asked to consult widely and to provide its advice to the Minister by the end of 1994.

The Minister also asked the Council, in making any recommended revisions to the current funding allocation system, to consider a number of important policy objectives including:

- increased accessibility
- a stronger emphasis on teaching
- enhanced transfer of credits among universities, and between colleges and universities
- enhanced cooperation, rationalization and sharing to increase quality and accessibility to universities
- a funding system which encourages accessibility, adaptation and restructuring.²

In addition, the Council was asked to examine the balance among university teaching, research and community service, and to consider ways to increase accountability in the use of resources in these areas.

As an advisory body that also mediates between Ontario's institutions and the provincial Government, the Council is motivated in this undertaking by its desire to help universities manage their response to the changing cultural, economic, social, technological and fiscal environment and to promote excellence in teaching, research and community service.

In this Discussion Paper, the Council examines the environment and pressures for change faced by universities, how other jurisdictions are dealing with similar circumstances, and what potential responses may be considered in preparing the university system to meet these challenges. It does not deal with general tuition fee policy, capital funding or the issue of funding for deferred maintenance of the physical plant of universities.

While the Discussion Paper looks at both the strengths and weaknesses of the current funding allocation system and examines possible alternatives, the scope of this review has required the Council to probe other related areas. A future funding mechanism may have a direct impact on such issues as accessibility; balance among teaching, research and community service; quality; accountability; institutional restructuring and professional program rationalization. Funding cannot be dealt with in isolation since it impinges upon other key decisions affecting universities.

This document is intended to engage universities, the university community and community groups in a productive discussion, to provoke thought and analysis, and to facilitate wide consultation. Alternative funding models have been put forward. These are not meant to be prescriptive, but rather indicative of some of the directions that are possible. The Council does not hold a particular view at this time with respect to the appropriate funding mechanism for Ontario universities. Its mandate is to define the framework of the discussion, listen carefully to what various stakeholders have to say and then advise. Even the initial research reported in this paper and supporting background and technical papers should be considered food

1. The Ontario university system includes Brock University, Carleton University, University of Guelph, Lakehead University, Laurentian University (including Algoma College and Collège de Hearst), McMaster University, Nipissing University, University of Ottawa, Queen's University, Ryerson Polytechnic University, University of Toronto, Trent University, University of Waterloo, University of Western Ontario, Wilfrid Laurier University, University of Windsor, York University, Ontario Institute for Studies in Education, Dominican College, Ontario College of Art, and 23 federated and affiliated universities and colleges.

2. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 24, 1993, p. 3.

for thought -- useful information that will generate informed debate, not definitive statements reflecting the Council's position on the issues.

This Discussion Paper is only one among a number of instruments that will be employed by the Council in gaining broad input from both university and external communities. In keeping with the Minister's direction to consult widely, public hearings will be held across the province during the months of September, October and November, 1994. The Council has already met with a number of groups and institutions. These consultations and the upcoming hearings will be augmented by ongoing policy research conducted by the Council's research secretariat.

Several questions are posed at the beginning of this Discussion Paper. The Council invites all interested persons and organizations to respond to these questions by mail, fax, or electronically to:

Ontario Council on University Affairs
56 Wellesley Street West, 10th Floor
Toronto, Ontario M7A 2B7
Fax: (416) 314-6982
E-mail: rar@edu.gov.on.ca

Groups or individuals wishing to send written submissions to the Council may do so to the above address (please provide five copies). Those groups or individuals wishing to appear at a public hearing in their community must formally request a hearing date at least three weeks in advance and attach an outline of their position. Based on the time available, the Council may have to limit the number of groups and individuals appearing and the amount of time allotted to each.

All parties invited to make a presentation at a hearing are requested to submit thirty copies of their formal submission to the Council at least two weeks prior to their hearing date.

The scheduled hearings, by place and date, are as follows:

North Bay	Tuesday, September 27, 1994
Sudbury	Wednesday, September 28, 1994
Thunder Bay	Thursday, September 29, 1994
Toronto	Thursday and Friday, October 6 and 7, 1994
Hamilton	Tuesday, October 11, 1994
St. Catharines	Tuesday and Wednesday, October 11 and 12, 1994
Kitchener-Waterloo	Wednesday and Thursday, October 12 and 13, 1994
Guelph	Thursday, October 13, 1994
Kingston	Thursday, October 20, 1994
Peterborough	Friday, October 21, 1994
Ottawa	Wednesday and Thursday, October 26 and 27, 1994
London	Tuesday and Wednesday, November 1 and 2, 1994
Windsor	Wednesday and Thursday, November 2 and 3, 1994
Toronto	Monday, Tuesday and Wednesday, November 7, 8 and 9, 1994

Those appearing at hearings will be notified of date, time and location.

The Ontario Council on University Affairs (OCUA) is an advisory body to the Government of Ontario on policy relating to the province's university-level institutions. Council members (up to 21) are drawn from many parts of the province and bring a diversity of experience and knowledge to the Council's work. At the present time, more than half of the members are drawn from the university community. Other members are drawn from education, labour, business and community service backgrounds.

In its role of promoting system-wide development, the Council acts as an intermediary between Ontario's publicly-funded university-level institutions and the provincial Government. It provides recommendations to the Minister on the funding of universities, including the allocation of operating funds among institutions and among funding programs, and on the funding of professional, quasi-professional, special and graduate academic programs. It also serves as an agency for public education by keeping the Ontario Government informed of policy issues pertaining to universities.

OCUA undertakes its work in an independent manner. For this funding reference, the Council established an Ad hoc Committee on Resource Allocation to oversee the research, consultation and policy development. A Task Force on Resource Allocation was appointed to oversee the day-to-day aspects of the research. Research and consultation for the project have been structured to ensure that all aspects of the Minister's reference are thoroughly dealt with in an objective and independent fashion.

Members of OCUA and the Ad hoc Committee on Resource Allocation

Hashim M. Ahmed	Gilbert Levine *
George Bancroft	Lino Magagna
Alan Broadbent *	John R. Meyer
Moirá Burke *	Connie Nelson
Joy Cohnstaedt (Chair) *	William Owen
Evelyn Ham	Kate Thorne
Tim Jackson *	Jill Vickers **
Judith Knelman *	Gary Warner (Vice-Chair) *

(* Members of the Ad hoc Committee on Resource Allocation)

(** Chair of the Ad hoc Committee on Resource Allocation)

Members of the Task Force on Resource Allocation

Colin Graham (Chair)
Suzanne Fortier
Gordon Wood

2.0 The Changing Environment and its Impact on the University System

Pressure on the university system for change is mounting. The province, faced with modest rates of economic growth and massive revenue shortfalls, has been forced to examine funding levels for all public and publicly-funded institutions. Further, the transition to a knowledge-based economy requires a highly skilled workforce in need of not only basic, but also on-going education and training. Equally important, Ontario is experiencing a transformation in its racial and ethnocultural make-up as well as a fundamental restructuring of the economy. It is in this environment that the province is striving to compete in the global marketplace and meet the needs of all its communities. A fundamental way to reach these objectives is through the enhancement of knowledge which is the principal historic mission of the universities.

As publicly-funded private institutions, Ontario universities have a critical role in positioning Ontario to meet these challenges. They are needed to respond to our social, cultural and economic requirements for life-long learning and a highly trained and flexible labour force. Universities need to be able to respond to anticipated increases in demand for participation in university education, including a demand from those who have not traditionally attended university. Universities are needed to provide leadership and to meet the applied and basic research needs of Ontario. Ontario's universities have indicated that they are responding to these needs in a number of ways.

These realities -- cultural, social, economic, technological and fiscal -- have already brought about change in many sectors of the Ontario economy. Today, these pressures are also being felt inside the province's publicly funded institutions. As recent Ontario Government policy indicates, nothing is immune to re-examination. From health care to social services, from education to the environment, all aspects of government funding are being scrutinized. In addition, Ontarians, as taxpayers, are increasingly demanding stricter accountability for public spending. This means all areas are competing for a share of static, if not diminishing, public resources.

As such, universities could be increasingly called upon to respond to the following:

- financial constraints limiting government transfer payments;
- social and demographic changes creating the potential for significant enrolment increases and an increasingly diverse student population;
- demand for research and highly skilled personnel in a highly technical milieu;
- changing public policy priorities and the increasing emphasis on accountability; and
- a continuing need for Ontario universities to be globally competitive.

For universities in Ontario, there may be only two basic responses to the changes taking place -- managing the change or, by default, being managed by the change. For those institutions that are prepared, change can bring with it many opportunities. Some stakeholders in Ontario universities have already reflected on the environment faced by universities and the implications for change. The University Restructuring Steering Committee (URSC) developed a proposed set of goals for the Ontario university system in its Draft Interim Report circulated to the university community in October 1992. At that time, the URSC suggested the following as appropriate goals for Ontario universities:

- *to develop an educated populace with enlightened, dynamic citizens and leaders for a democratic society;*
- *to educate and train people throughout their lives for professions and occupations;*
- *to teach and provide for study at the highest intellectual standard, including opportunities at the highest international level;*

- *to engage in scholarship, creative activity, basic and applied research at the highest intellectual standard, including activities at the highest international level;*
- *to provide equity of access;*
- *to be responsive to student needs;*
- *to achieve greater interaction among universities, other educational institutions and the broader community; and,*
- *to be democratic and collegial institutions with significant capacity for change, adaptation and co-operation, and able to make decisions in an open, transparent and accountable manner.*³

These goals, although never formally adopted, reflect the complex array of expectations that society has for universities and that universities have for themselves.

Universities have made and must continue to make a significant contribution to the quality of life in this province. Ontario as a whole has benefited socially, culturally and economically from its expanding pool of highly qualified human resources developed by universities, and will rely even more on individuals' talents and skills as it strives to compete in a world of ever-broadening information and technological sophistication. Recent evidence suggests that fully 40 per cent of the new jobs to be created this decade will require 17 or more years of education.

In addition, through their research activity, universities make a significant contribution to Ontario's economic and social development, its ability to compete internationally, and the provision of high quality publicly-funded services. The advanced research that takes place in universities continues to be an important activity that allows Ontario to participate actively in the global expansion of knowledge. Moreover, the recent expansion of applied research activity in Ontario universities, the development of university-industry linkages through the national and provincial Centres of Excellence, and provincial and institutional promotion of technology transfer enhance the ability of Ontario to compete more effectively in the emerging global economy as well as contribute to social research and the pursuit of new knowledge.

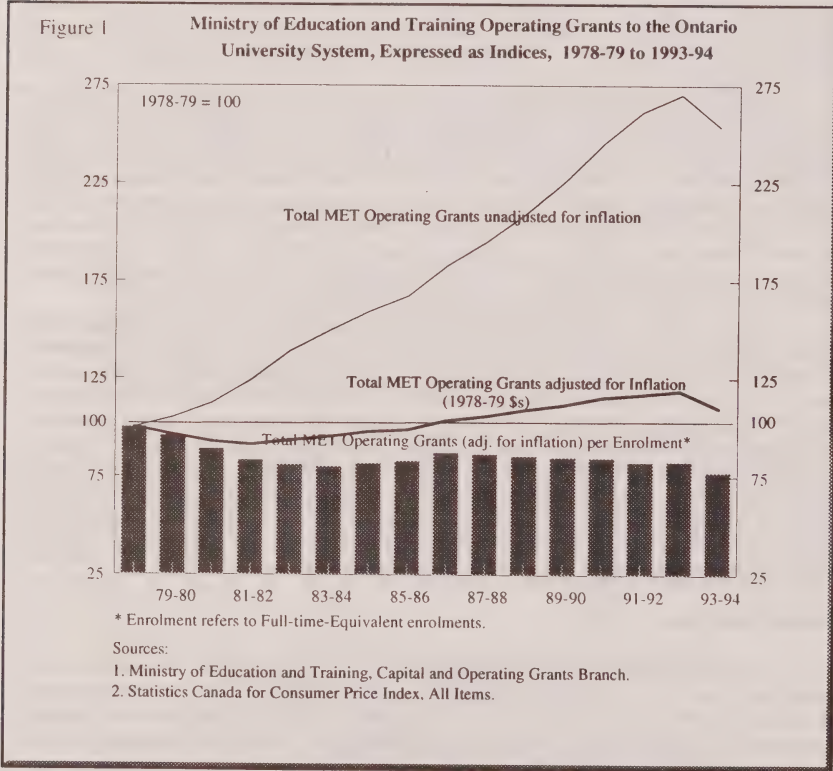
The traditional view of the universities' mission has focused on teaching, research and community service. In this tripartite mission, teaching is seen as the delivery of academic programs leading to diplomas or degrees at the baccalaureate, masters and doctoral levels; research is the search for new knowledge and/or deeper understanding through both empirical and intellectual inquiry, which could be pure or applied; and community service is seen as making talent and expertise (both paid and unpaid) available to the external community through the provision of a broad array of services, including non-credit continuing education, contract research, consultative advice, adjudications and active citizenship. The challenge for universities will be to continue to create, integrate, disseminate and apply knowledge while responding to the many pressures for change. This means that the universities' missions may need to be looked at in new ways (see Section 4.3 for a further discussion).

Financial Constraints

Canada and Ontario have been experiencing one of the most serious recessions of this century. In addition, there is a growing perception among Ontarians that they are overburdened with taxes, and there is little support for any tax increases. The fiscal situation of the province has worsened in the past few years. Interest on the provincial debt is expected to account for 17.6

3. University Restructuring Steering Committee, *Draft Interim Report*, October, 1992. Note that all direct quotations in this Discussion Paper appears in italics.

per cent of Ontario's revenue in 1994-95, up from 8.8 per cent in 1990-91. During the same period, the provincial debt increased from \$42,300 million to \$90,400 million. As a result of measures to control expenditures and reduce the provincial deficit, total program spending (net of interest costs) in Ontario has declined in each of the past two years. This is the first time that has occurred since 1942. After many years of large federal deficits, interest charges on federal public debt stand at 33 per cent of revenue. Federal government debt has increased from about 30 per cent of national Gross Domestic Product (GDP) in 1980-81 to 74.5 per cent in 1994-95.⁴ The combined effect of growing public sector debt and government revenue shortfalls continues to place ever more stringent limitations on the funding available for publicly-funded institutions such as hospitals, municipalities and schools. As a result, there has been a shift in levels of government support for university education. Figure 1 indicates that universities have experienced relatively flat real provincial operating grants for over a decade and a half. For the first time in recent history, the nominal or actual level of operating grants (excluding Pay Equity grants to universities) dropped in 1993-94 and 1994-95 by 6.3 per cent and 1.9 per cent respectively. On a per student basis, operating grants adjusted for inflation have fallen almost 23 per cent since 1978-79 (see Figure 1).



4. Ontario Ministry of Finance, Intergovernmental Finance Policy Branch, 1994.

In a joint memorandum dated June 13, 1994, from the Ontario Minister of Education and Training, the Honourable Dave Cooke, and Deputy Minister, Dr. Charles E. Pascal, to executive heads and chairs of governing boards/councils of Ontario universities, the anticipated further decline in public support was all but confirmed. The memorandum stated:

With the prospect of reduced federal EPF payments and slower than anticipated economic recovery, Ontario's revenue situation likely will remain poor over the next several years. This will affect our ability to support our transfer partners at current levels. Moreover, when the Social Contract ends in 1996-97, prior funding levels will not be restored; the reductions are permanent.

As Figure 2 indicates, since the Established Programs Financing (EPF) arrangements (under which the federal Government provides assistance to provinces for health and post-secondary education) were instituted in 1977, successive federal Governments have scaled back their commitments to the provinces. According to the Ontario Ministry of Finance, Ontario losses due to federal reductions in EPF from 1982-83 to the end of fiscal year 1994-95 are estimated at over \$18,000 million. In addition, in its 1994 budget, the federal Government announced that spending under the post-secondary education component of EPF and the Canada Assistance Plan in 1996-97 would be reduced to 1993-94 levels, a \$1,500 million cut from pre-budget projected spending for 1996-97.

With the prospect of reduced federal EPF payments and slower than anticipated economic recovery, Ontario's revenue situation likely will remain poor over the next several years. This will affect our ability to support our transfer partners at current levels. Moreover, when the Social Contract ends in 1996-97, prior funding levels will not be restored; the reductions are permanent.

The Honourable Dave Cooke, Minister,
Dr. Charles Pascal, Deputy Minister,
Ministry of Education and Training.
June 1994

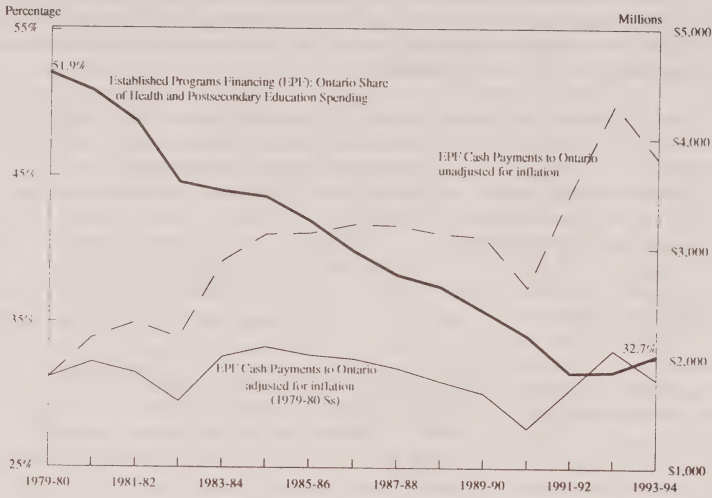
As a result of declining public revenues, several provincial governments have taken steps to reduce expenditures. The province of Alberta, for example, has announced that it will cut its support to higher education by 20 per cent over three years. In Nova Scotia, an academic discipline review process has led the provincial Government to withdraw certification of Bachelor of Education graduates from two universities and to close the Nova Scotia Teacher's College. The future of two other Bachelor of Education programs is under review. In addition, the report of the academic discipline review committee on computer science released in early July, recommended that full bachelor's programs in computer science be concentrated in two universities which would entail the withdrawal of degree granting status in computer science in one other university.

Social and Demographic Changes

Despite limited public funding, demand for university-level education continues to increase. **The Ontario university system is now a mass education system**, accommodating the demand for university education across a wide range of socio-economic backgrounds. In Fall

Figure 2

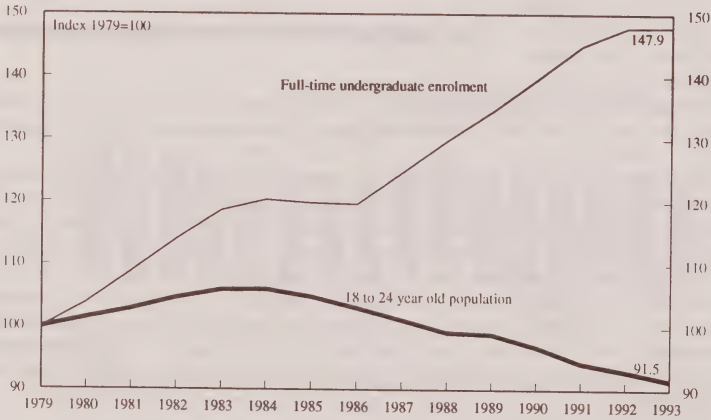
Federal Support for Health and Postsecondary Education in Ontario, \$ Millions and Percentage (1979-80 to 1993-94)



Sources: 1. EPF data from Ontario Ministry of Finance.
2. Statistics Canada for Consumer Price Index, All Items.

Figure 3

Ontario Population 18-24 and Full-time Undergraduate Enrolment, Expressed as Indices, 1979 to 1993

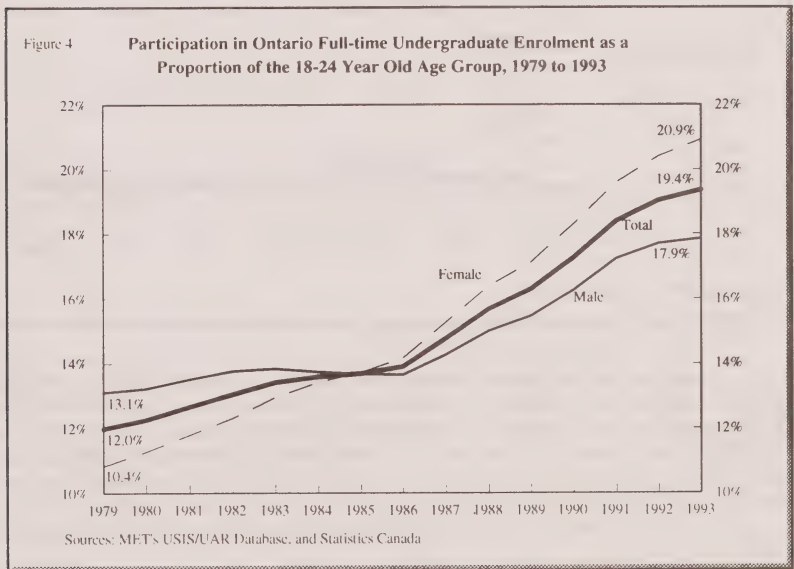


Sources: MET's USIS/UAR Database, and Statistics Canada

1993, there were 230,857 full-time and 99,711 part-time undergraduate and graduate students

enrolled in the Ontario university sector, representing a 17 per cent increase in total enrolment in the last decade. In the mid-1980s, it was forecast that demand for university education would decline over the decade as the baby-boom generation moved beyond the traditional full-time university age. However, demand increased as participation rates jumped -- particularly for women. Figure 3 outlines current trends in full-time undergraduate enrolment for the 18-24 age population, while Figure 4 shows the increase in participation rates for females and males. The participation rate of full-time undergraduate students as a proportion of 18-24-year olds has increased from 12 per cent in 1979-80 to 19 per cent in 1993-94. Female participation rates have surpassed male participation rates since 1985 and are now 21 per cent compared to 18 per cent for men. As Figure 5 indicates, however, the higher participation rate of women is not evenly distributed across fields of study, with lower female participation in science and engineering, and graduate studies. It is highly possible, therefore, that further growth can be expected in these areas in the future.

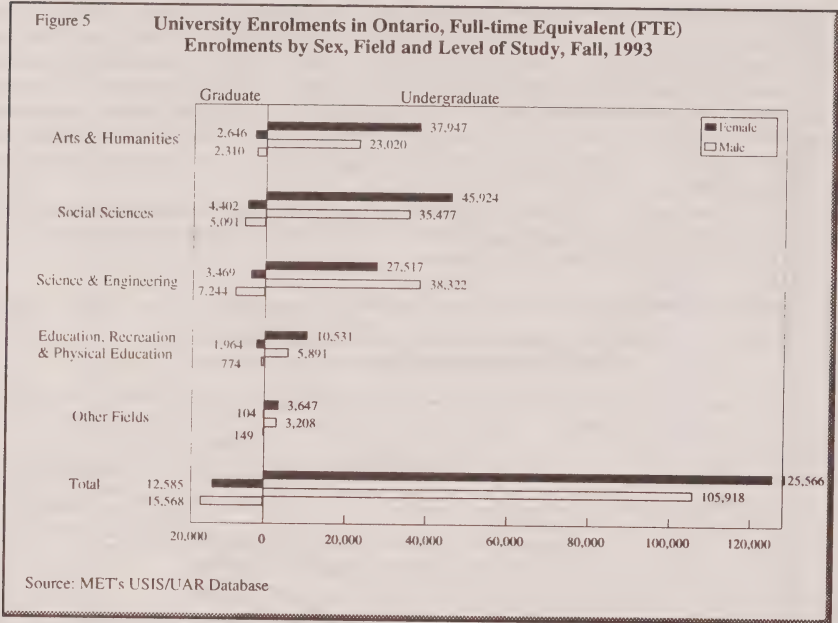
The reversal of anticipated demand led the Government to sponsor a demand study in the early 1990s which predicted an increase in full-time undergraduate enrolment demand of three per cent per year or over 30 per cent over the decade.⁵



The Council on University Planning and Analysis (CUPA) has recently used a variety of methodologies to project future demand. CUPA's preliminary forecasts predict that first-year undergraduate enrolment demand could increase between 1 per cent and 2.5 per cent per year, or between 7 per cent and 19 per cent by the year 2000. The low-range estimate assumes constant participation rates and transition rates from secondary schools, paralleling growth in the population of traditional university age students. The higher-range estimate assumes

5. Frank T. Denton et al, Changing Enrolment Patterns in Ontario Postsecondary Education: A Summary of the Findings. McMaster University, June 1992.

participation and transition rates will continue to increase. None of the estimates takes into account the potential impact of life-long learning initiatives or non-traditional patterns of demand. The CUPA working group anticipates providing a more complete report in the fall which will further inform the consultations.



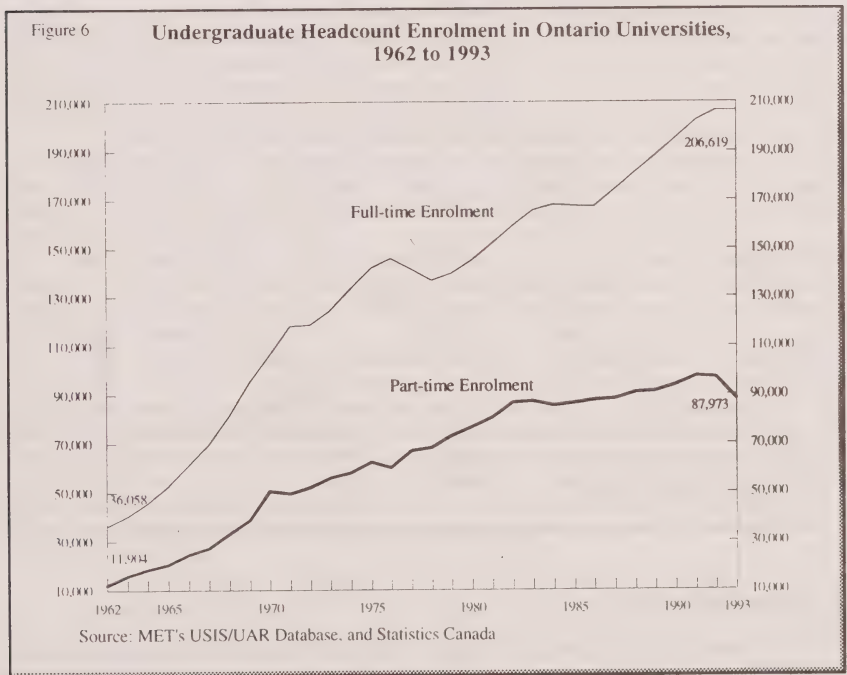
In the past decade, **graduate enrolment** has increased more rapidly than undergraduate enrolment. An Ad hoc committee of CUPA and the Ontario Council on Graduate Studies (OCGS) recently undertook a study of the demand for graduate education in Ontario universities to help inform the Council in this review. The sub-committee examined graduate applications, registrations and the capacity of the work force to absorb graduates. They predict that graduate enrolments will increase by 2 per cent annually or 15 per cent by the year 2000.

There are a number of factors which could affect future enrolment demand. These include:

- projected growth in the traditional student population from which universities have drawn the bulk of their full-time enrolment in the past;
- increased participation within this age group;
- smaller family sizes in society, increasing families' ability to finance childrens' education;
- higher participation rates among groups that may not have traditionally benefited from the university experience;
- increased participation from those seeking to upgrade existing education and skills; and
- the growing demand for life-long learning.

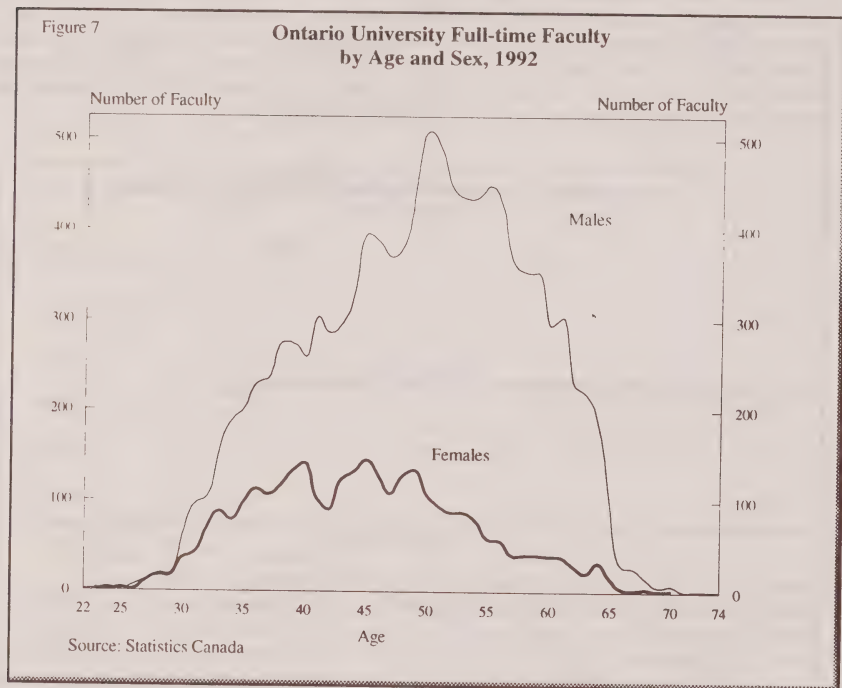
As enrolment has increased, there is anecdotal evidence that there has also been a change in the demographics of the student population. As noted above, there has been a significant increase in the number of women pursuing a university education.

Figure 6 provides a view of the full and part-time composition of undergraduate enrolment in Ontario universities from 1962 to 1993. Since the mid 1980s, the enrolment of full-time undergraduates has grown by over 20 percent. Part-time undergraduate enrolment, which grew rapidly through the 1960s and 1970s, has grown by only 2 per cent since the mid 1980s. However, the trend of slower part-time enrolment may not continue because the academic path of students in the future may not necessarily follow the "linear" path taken by the majority of students today or in the past. Given the profound restructuring of the economy, it is highly likely that there will be a growing demand for a "quilt-like" combination of education in its broadest sense that will involve learning and training provided by universities, colleges and private corporations. This desire for life-long learning may come from individuals without the traditional academic prerequisites.



The challenge for the university system is not simply how to cope with the potential enrolment increase, but how to do so while enhancing the quality and accessibility of university education for today's heterogeneous student population, including students with physical and learning disabilities. Universities may also need to respond to the training needs of the public and private sectors and become more responsive to the country's training agenda.

Finally, the university system employed more than 14,500 FTE faculty and 18,500 FTE non-academic staff in 1992-93. A large number of full-time faculty was hired during the 1960s and early 1970s as the Ontario university system expanded rapidly to a mass education system. Over the next decade, universities have a "window of opportunity" to initiate change as these faculty reach retirement age. It is anticipated that 25 per cent of tenured faculty will retire by the year 2000. This opportunity to renew the professoriate is unparalleled in recent years. With the larger number of faculty retiring (see Figure 7), universities will be in a unique position to address the sex and equity balance of the professoriate.



Changing Public Policy

Public policy must reflect the changing values and demographics of Ontario's society. Accessibility and equity will continue to be major issues in the future for universities. In addition to the pressure of potential increases in enrolment over the next decade, Ontario's racial, ethnocultural and linguistic profile is changing rapidly. Universities must respond to accommodate individuals of diverse backgrounds as well as non-traditional age groups.

Historically, the province's accessibility policy stated that all qualified students should have a place in a university, but not necessarily in the program of first choice, and governments have respected the right of universities to define who is qualified. In the early 1960s, the government gave a generous interpretation to its understanding of qualified. In 1963, prior to the development of the Colleges of Applied Arts and Technology (CAATs), Premier Robarts expressed it to the Ontario legislature this way:

*The Government does not look with approval on any university requiring unreasonably high standards of admission. It is our viewpoint that the admission standards must be moderate and reasonable and such as to enable the average student to proceed to a degree. I feel that a flexible standard between 55 and 60 per cent depending on the type of course, would define what I mean by average.*⁶

While no really clear provincial policy on accessibility has been stated by governments since this time, the meaning of accessibility has changed. Over time, "accessibility" has had different definitions: accommodation of all qualified applicants in some program in the system; access to service within the region; and access by those who have not traditionally attended university -- now usually described as educational equity. Global access has been a continuous concern, including concern for access for qualified applicants to all program levels and types. Equity has arisen as a more explicit concern in the 1980s and 1990s. Today access can mean additional enrolments and increasing the proportion of the population served. Access can mean ensuring that those enrolled represent the diversity of the total population and that enrolment standards do not systematically exclude groups. Access can mean dealing effectively with special learning needs associated with serving non-traditional students who have heretofore not been part of the student body. Finally, access can also mean addressing the "training agenda" of government in a more explicit way.

In practice, universities have defined 'qualified students' in many different ways and there has been no common minimum threshold across the province. Although lower than in some U.S. jurisdictions such as California or Michigan, Ontario's post-secondary participation rates are amongst the highest in the world. Government must articulate its access policies for Ontario more clearly.

In considering this issue, in a time of fiscal constraint, it is also incumbent on the Government to mediate between competing expectations and needs, not only to maximize the return on public investment, but also to ensure that its investment generates the greatest benefit to the greatest number.

As Ontario's population becomes increasingly diverse, governments have taken steps to improve accessibility and equity, ensuring publicly-funded institutions reflect and are representative of the broader public. Ontario has specifically designated a number of groups that historically have been under-represented in terms of employment and opportunity. These are: aboriginal peoples, people with disabilities, francophones, visible and racial minorities, and women. The recent enactment of Bill 79 legislates the principles of equal treatment in employment within both the public and private sectors for these five designated groups.⁷

This raises two public policy expectations:

- ensuring **equitable participation** in all publicly-funded services (with equitable participation being defined in terms of equitable access and equitable outcomes); and
- increasing **accountability** for the manner in which the public's investment is being managed.

Council believes there will be increasing public pressure for government to concern itself with and be accountable for the quality, responsiveness and relevance of public and publicly-funded services. Some aspects of university performance lend themselves

6. John P. Roberts, Statement to the Ontario Legislature, March 21, 1963.

7. Bill 79, An Act to Provide for Employment Equity for Aboriginal Peoples, People with Disabilities, Members of Racial Minorities and Women. Royal Assent, December 14, 1993.

more readily to quantitative assessment than others. There are measurable indicators of the output of instruction -- university graduates and unemployment rates. In 1992, 51,805 undergraduate and 9,469 graduate students received degrees from Ontario universities. Unemployment rates for the portion of the work force with university degrees was 4.2 per cent in 1993, compared with 10.4 per cent in the total Ontario labour force. It is more difficult to carry out the qualitative evaluation needed to assess the university system's research and community service performance.

There also will be pressure for government to ensure that the public's investment is strategically focused and that there is enough flexibility within the system to target that investment as circumstances dictate. Government also will require flexibility within and among publicly-funded institutions so universities can restructure as priorities change. This phenomenon is not limited to Ontario or Canada. As these public expectations are manifested throughout the western world, similar pressures are being placed on universities everywhere. These pressures include:

- a perceived need to enhance university accountability;
- a perceived need for universities to be more responsive to public policy;
- concern about quality, particularly the quality of teaching;
- concern about the interrelationships and balance among teaching, research and community service;
- concern about the relevance and value of university research activity;
- a desire for enhanced institutional differentiation; and
- concern over university responsiveness to issues of access and social equity.

The breadth of these pressures may have a direct effect on the traditional relationships between government and universities. In Ontario, universities exist in a relatively unregulated setting which reflects their traditional autonomy. Universities are subject to the laws of general application such as the Ontario Human Rights Code. However, with the exception of their individual enabling statutes, there is no legislation of specific application to universities that regulates the conduct of their business. They have a high degree of institutional autonomy which, it has been argued, is necessary to protect academic freedom.⁸ However, academic freedom has also been protected effectively in other more centrally co-ordinated jurisdictions.

The current international experience provides insight into the way other jurisdictions are responding to changing public policy. While there is a general trend, particularly in Europe, towards diminished administrative control of universities that were once mere extensions of government bureaucracy, there is also a trend towards more explicit statements by governments everywhere of expectations of university behaviour and performance. Implicit in this trend is a move away from the notion of publicly-funded institutions receiving their annual grant of public

8. The Canadian Association of University Teachers' (CAUT) statement on academic freedom reads: *"The common good of society depends upon the search for knowledge and its free exposition. Academic freedom in universities is essential to both these purposes in the teaching function of the university as well as in its scholarship and research. Academic staff shall not be hindered or impeded in any way by the university or the faculty association from exercising their legal rights as citizens, nor shall they suffer any penalties because of the exercise of such legal rights. ...Academic members of the community are entitled, regardless of prescribed doctrine, to freedom in carrying out research and in publishing the results thereof, freedom of teaching and of discussion, freedom to criticize the university and the faculty association, and freedom from institutional censorship. Academic freedom does not require neutrality on the part of the individual. Rather, academic freedom makes commitment possible. Academic freedom carries with it the duty to use that freedom in a manner consistent with the scholarly obligation to base research and teaching on an honest search for knowledge."* (May 1977). CAUT has also published "Guidelines Concerning Professional Ethics, and Professional Relationships" (1973) in Canadian Association of Universities Teachers, Handbook of Policy Statements, Guidelines and Model Clauses, Third Edition, 1979, pp. 46-48.

monies as entitlements to one which sees them earn these funds through the provision of defined services.⁹

In looking at the desirability of universities becoming more responsive to public policy priorities, the issue that may need to be considered is whether the administrative autonomy of universities legitimately or appropriately provides them with independence from government policy objectives and, if not, where the line is to be drawn between administrative and policy matters. Some who argue for more university autonomy believe that it encourages financial responsibility by resource users and greater responsiveness to changing societal needs through local control by governing boards or councils. Those who argue for limits on autonomy believe conversely that individual institutions, because of their collegial nature, are unable to make difficult decisions.

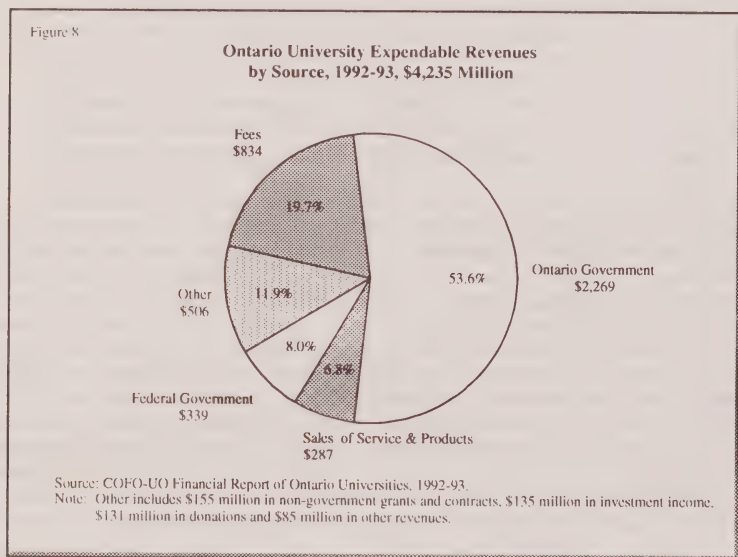
9. A fuller discussion of international trends is presented in the Task Force on Resource Allocation's, background paper, University Funding Mechanisms: An International Comparison, July 1994.

3.0 University Funding in Ontario and in Selected Jurisdictions

Council has reviewed the funding of universities in Ontario and in various jurisdictions in an effort to identify for discussion purposes possible alternative funding models. In this chapter, current Ontario university funding arrangements are described and can be viewed in contrast to other jurisdictions. Such comparisons are not only informative, but provide a frame of reference for fashioning a distinctive Ontario response to the Minister's request for a review of the current Ontario funding system.

3.1 Ontario University Revenues and the Funding Allocation System¹⁰

Ontario universities obtain their revenue from a range of sources: provincial and federal grants and contracts, student fees and other private sources. As indicated in Figure 8, 53.6 per cent of the \$4,235 million in revenues received by the university system in 1992-93 was provided by the Ontario Government (\$2,269 million); 19.7 per cent was obtained from fees (\$834 million in tuition fees, and ancillary fees including residence fees and other fees); 8 per cent was provided by the federal Government (\$339 million); 6.8 per cent was based on sales of service and products (\$287 million); and 11.9 per cent was derived from other sources (\$506 million).

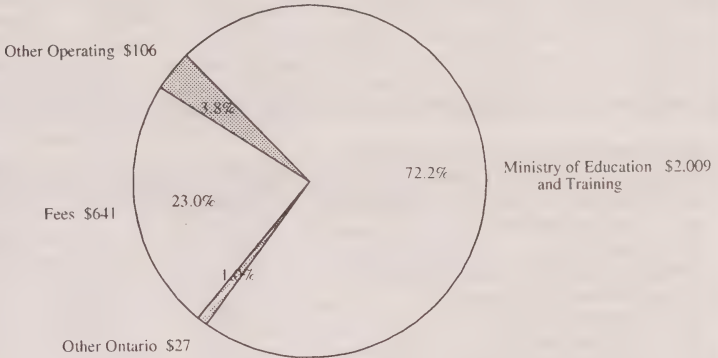


Of these funds, \$2,783 million were general operating revenues (for expenditure on instruction, non-sponsored and non-contract research, academic and student support services, library, computing, plant maintenance and administrative services). As Figure 9 indicates, 72.2 per cent of operating revenue came from the Ministry of Education and Training (\$2,009 million); 23.0 per cent from fees (\$641 million); 1.0 per cent from other provincial government sources (\$27 million); and 3.8 per cent from other sources (\$106 million).

10. The Task Force on Resource Allocation is releasing a background paper on the Ontario university funding system, which provides a more detailed description of Ontario university funding.

Figure 9

**Ontario University System Operating Revenues
by Source, 1992-93, \$2,783 Million**



Sources: 1. COFO-UO Financial Report of Ontario Universities, 1992-93.

2. Ministry of Education and Training Final Operating Grants, 1992-93.

Note: Other includes \$51 million in investment income, \$13 million in donations, \$5 million federal government and \$37 million in other operating revenues.

Provincial Operating Grants

Table 1 indicates the breakdown of Ministry of Education and Training operating grants for 1992-93, 1993-94 and 1994-95. Of the \$1,833.4 million in operating grants in 1994-95, approximately 93 per cent is provided through a funding formula encompassing two envelopes, the Formula or Basic grants envelope and the Transition to New Corridors grants envelope. The remaining seven per cent of operating grants are targeted towards specific initiatives such as grants to enhance access for students with disabilities; Ministry Special Purpose grants; and to compensate for additional costs associated with institutional missions, including Northern Ontario grants, Bilingualism grants and Research Overhead/Infrastructure grants. With the exception of the grants for Enhancing Accessibility for Students with Disabilities, Northern Ontario Mission grants and Ministry Special Purpose grants that are tied to specific expenditures, the remaining 96.4 per cent of the operating grants are block grants and can be spent on virtually any operating expenditure (see Table 2). Under this approach, funds generated by enrolment levels in one discipline can be spent on any operating activity within the institution.

The Resource Allocation Review focuses on three funding envelopes which are shaded in Table 1: the two envelopes encompassing the funding formula (the Formula or Basic grants envelope and Transition to New Corridors grants envelope) and the Research Infrastructure/Overheads envelope.

Table 1

**Ministry of Education and Training Operating Grants
to the Ontario University System, 1992-93 to 1994-95**
(\$ millions)

	Final Ministry Allocations 1992-93 (Col. A)	Final Ministry Allocations 1993-94 (Col. B)	Preliminary OCUA Recommendations 1994-95 (Col. C)
1. Enrolment-Based Formula Funding			
a) Formula (Basic) Grants	1,685.2	1,558.2	1,530.8
b) Transition to New Corridor Grants	172.9	172.1	169.1
c) Contingency Funds			0.5
d) Sub-Total	1,858.1	1,730.4	1,700.4
2. Mission-Related Institution-Specific			
a) Northern Operations	8.5	7.9	7.8
b) Northern Mission	3.0	2.8	2.7
c) Bilingualism Grants	25.9	24.1	23.6
d) Differentiation Grant	1.8	1.7	1.6
e) Algoma Extraordinary	0.8	0.7	0.7
f) Sub-Total	40.0	37.1	36.4
3. Other Operating Grants			
a) Research Overheads/Infrastructure Envelope	30.6	28.3	27.8
b) International Graduate Student Differential Fee Waivers	5.7	5.3	5.3
c) Enhanced Accessibility for Students with Disabilities	4.9	4.9	4.9
e) Sub-Total	41.2	38.5	38.1
4. Special Purpose & Faculty Renewal Grants			
a) Special Purpose + Expenditures Deferrals	22.5	34.7	54.7
b) Faculty Renewal	11.1	7.6	3.8
c) Sub-Total	33.6	42.5	58.5
5. Other Grants			
a) Pay Equity	14.5	18.9	(See Note 4)
b) Transition Assistance Funding	22.0		
c) Social Contract Adjustment		20.0	
d) Sub-Total	36.5	38.9	
6. Total Operating Grants	2,009.4	1,887.2	1,833.4

Notes:

1. The Council identifies contingency funds annually in its allocative advice to government for the purpose of meeting potential exigencies.
2. Transition Assistance funding was made available for 1992-93 only.
3. The \$20 million adjustment made to the initial Social Contract reduction of \$110 million in 1993-94 (see line 5c) is included in the global sum of \$1,833.4 million in 1994-95.
4. The size of the 1994-95 Pay Equity funding will be known closer to the end of calendar 1994.
5. Shaded lines indicate the MET operating grants under review in the OCUA Resource Allocation Reference.

Corridor Funding System

The current funding formula is known as a "corridor funding system" under which each university receives a fixed share of the university system's formula grants based on weighted enrolments. Each institution's share was originally determined by its relative level of student enrolment over a number of years (1974-75 to 1985-86). These enrolment levels were determined by counting full-time and part-time students enrolled at a university each term and determining their full-time-equivalency (FTE enrolment). Enrolments were then given a program "weight" (generating Basic Income Units or BIUs) from 1.0 for general arts and science majors to 6.0 for doctoral students, which was roughly reflective of the relative costs of programs at the time of their introduction in the late 1960s.

An institution continues to receive a fixed share of formula income (called Basic Operating Income or BOI which equals Formula grants plus government-set Formula Fees) so long as a five-year moving-average of its recent enrolment remains within a band of ± 3 per cent of enrolment associated with its fixed share of income. If enrolment levels fall such that an institution's five-year moving-average drops below its corridor floor, then the university's share of formula grants will decrease. If an institution's enrolment goes above its corridor ceiling, it does not automatically receive additional funding except for fees. For additional provincial funding to be forthcoming for enrolment growth above an university's corridor, the Government must be willing to provide additional grants for that purpose and negotiate (or have OCUA negotiate) a higher corridor level.

Universities currently receive funding for their original corridors which were set in 1986 as well as funding for higher corridor levels negotiated with the Council in 1989-90. The bulk of the funds (\$1,530.8 million in 1994-95) is allocated through the Formula grants envelope on the basis of the original corridors set at 377,930 BIUs in 1986. In recognition of significant enrolment growth since 1986, the 1989-90 university corridor levels were renegotiated to fund the additional 45,600 BIUs. The funds associated with these corridor shifts are allocated through the Transition to New Corridors envelope (currently \$169.1 million in 1994-95).

Since 1989-90, university system enrolment has continued to grow, reaching 29,406 BIUs above university corridor mid-points established in 1993-94. Institutions receive only tuition fee revenue for enrolment above the mid-point of their 1989-90 corridors.

Table 2 provides a summary of the key aspects of the Ontario university operating grants formula.

Research Overhead/Infrastructure Funding

While the Council recognizes the importance of other funding envelopes available to universities, it has only been asked to include the Research Overhead/Infrastructure envelope as part of this review. The Research Overhead/Infrastructure funding envelope provides \$27.839 million (1994-95) in block grant support in recognition of the overhead costs of sponsored research. It is currently allocated on the basis of institutions' share of a three-year moving-average of peer-adjudicated research grants from the three federal granting councils, the Natural Science and Engineering Research Council (NSERC), the Medical Research Council (MRC) and the Social Sciences and Humanities Research Council (SSHRC).

Table 2
Characteristics of the Current Ontario University Funding Formula

1. Block Grant	With a block grant, a university is free to spend such funds on eligible expenditures independent of how the funds were generated. Block grants are provided to fund operating activities, which are: academic support services, administration, community service, computing, instruction, library, plant maintenance, research, student services, and other operating expenditures (excluding: ancillary enterprises, capital projects, principal and interest payments on capital indebtedness, sponsored or contract research, and student aid).
2. Formula Funding System encompasses two funding envelopes	Currently there are two block grant, enrolment-based or Basic envelopes through which universities are funded: the Formula or Basic grants and Transition to New Corridors grants envelopes. Through Formula or Basic grants, the Ontario government, in 1994-95, is providing \$1,530.8 million for base system enrolments of 377,555 BIUs or an estimated 220,792 FTEs. Through the Transition to New Corridors grants, the Ontario government, in 1994-95, is providing \$169.1 million for additional enrolments of 43,950 BIUs.
3. Building Blocks of the formula funding system	The building blocks of the current funding system are: Full-time Equivalent enrolments (FTEs); Basic Income Units (BIUs); Basic Operating Income (BOI): fixed share; corridor ($\pm 3\%$); five-year moving-average; negotiated corridor change and the condition of "additional dollars"; formula fees which are regulated and taken into consideration in determining institutional BOI and block grant entitlement.
3.1 FTE - Full-time Equivalent enrolments	Each student's full-time equivalence is determined by current course load. An undergraduate student taking five courses in a five-course program = one FTE, while an undergraduate student enrolled in only two courses is 0.4 FTE. FTEs are the single measure of activity upon which the Formula and Transition to New Corridors Funding envelopes are distributed. The operating activities (instruction, research, community service, administration, building maintenance, library, etc.) that are provided for through these envelopes are funded according to this measure of activity counted over a period stretching back to 1974-75.
3.2 BIU - Basic Income Units	A BIU is an FTE multiplied by a weighting factor, as set out in <u>The Ontario Operating Funds Distribution Manual</u> , for the program in which a student majors. The BIU weights vary by program and level of study and in one instance by institution (OCA is funded at an institutional weight of 1.35). The weighting system is a rough measure of how costs vary by program, level of study and institution. Weights range from 1 for general arts, general science, and first year undergraduate work in other programs to 6 for doctoral work and reflect two terms for undergraduate and three terms for graduate enrolment. These values were established in 1966-67 and only slightly modified since then by adding or refining certain categories.
3.3 BOI - Base Operating Income	Grants in both the Formula and Transition to New Corridor funding envelopes are distributed to universities on the basis of Basic Operating Income (BOI). BOI is the total of grants plus the formula fees associated with the enrolments that are eligible for funding through each of these envelopes. Grants are calculated by taking an institution's total BOI and subtracting formula fees with the difference being the level of grants allocated.
3.4 Fixed Share	Each university receives a fixed share of the total grants and formula fees based on historical levels of enrolment (period from 1974-75 to 1985-86).
3.5 Corridor ($\pm 3\%$)	The corridor is the range of enrolments within $\pm 3\%$ of a set base level of funded BIUs where funding is insensitive to enrolment change.

Table 2 (continued)
Characteristics of the Current Ontario University Funding Formula

3.6 Five-Year Moving-Average	The five-year moving-average for the 1994-95 funding year is the average enrolment in the period from 1989-90 to 1993-94. In the following year the average will move by dropping 1989-90 and adding 1994-95. For the subsequent funding year 1989-90 will be dropped and 1994-95 will be added. Institutions are funded according to a fixed share of BOI so long as moving-average BIUs remain within the corridor. Moving-average BIUs over the top of an institution's corridor do not generate additional income beyond the tuition fees for these students. An institution, prior to going above its corridor, can apply for an increased corridor and a proportional increase in BOI and Formula Grants. Moving-average BIUs below the corridor floor generate a loss of BOI and Formula Grant income proportionate to the gap between the moving-average and the corridor floor.
3.7 Corridor Change: Negotiated/Additional dollars	Under the current funding system there are two ways in which upward corridor shifts can be made: they can be negotiated with the Ontario government (or OCUA on its behalf) or the province can increase funding levels.
3.8 Formula Fees: Regulated/Poolled	Under the current funding system there are two aspects to fees and the formula: first, formula fees are regulated; and, secondly, they are pooled across the system so that they are taken into consideration in the distribution of BOI and formula grants among institutions.

3.2 Funding System Models in Selected Jurisdictions¹¹

University funding mechanisms are an essential element in defining the relationship between universities and governments. Their characteristics encompass, implicitly or explicitly, the relationship

between public policy and institutional autonomy. The manner in which global funding levels are determined and distributed, the manner in which public funds are allocated and the accountability associated with these funds are important determinants of university funding mechanisms.

Generally, there are four models commonly used for the determination of institutional funding levels: bureaucratic models, incremental models, formula models, and contractual models. However, the funding mechanisms many jurisdictions use often combine elements of the various models.

1. ***Bureaucratically-based funding.*** This approach represents the extreme of governments' control of universities. Legally agencies of the state, universities are either incorporated into ministry budgets or have budget submissions to the state approved line by line. This model continues to define the university-government relationship in some U.S. states as well as in Germany, Finland, Greece and Portugal. It is also characteristic of the Japanese national universities. However, Norway and Spain have recently moved away from this model.
2. ***Annual increments on an historical base funding.*** Under this approach, incremental funding is provided to continue existing activity. This model, which is used in many U.S. states, assumes that existing base or core activities are appropriate.
- 3(a). ***Student-number or outcomes-based formulas.*** Formula funding models attempt to distribute public funds among institutions using criteria which have some empirical or

11. The Task Force on Resource Allocation is releasing a background paper, University Funding Mechanisms: An International Comparison, examining funding systems in other jurisdictions. Sources of information on other jurisdictions can be found in this paper.

other measurable basis such as operational cost data or enrolment. It may also be constructed hypothetically, such as on the basis of what the system should look like. The principal intent is that similar institutions engaged in similar activity or achieving similar outcomes should enjoy equal access to public funding. Most U.S. states using formula financing employ a multiplicity of formulas across service areas in recognition of the need to be more sensitive to the costs implicit in institutional differentiation and to be more amenable to specific policy initiatives. Ontario has a single funding formula for base university functions. According to the Organization of Economic Cooperation and Development (OECD), formula funding has largely replaced incremental funding as the main basis of institutional financial support in most OECD countries.¹²

3(b). *Special extra-formula responses.* In response to the general criticism that formula models are insensitive to specific public policy objectives, many jurisdictions have adopted special extra-formula responses, such as mini-formulas, special envelopes, etc. Within this general approach, a number of special funding strategies have emerged.

- i) Block grants with guidelines or categorical grants: Such grants typically flow to institutions which meet certain funding criteria or guidelines specifying how they will be used. In general, institutions usually apply for such funds. They are not awarded competitively nor are they based on achieving particular outcomes.
- ii) Initiative funding or competitive funding: This approach requires institutions to develop proposals for funding according to specified program criteria and to compete for funds. In Ontario, examples include the Program Adjustments envelope and the 1992-93 Transition Assistance grants envelope.¹³
- iii) Incentive funding: Incentive funds are a reward given for achieving a desired end or outcome. Their principal advantage is judged to be their inherent accountability.
- iv) Grants to students: This encompasses special awards to students that are only valid for a particular subset of institutions or programs. Interpreted more broadly, special purpose funding to clients has some potential for affecting institutional behaviour within the context of a market environment.

4. *Contractual funding models.* This approach involves the designation of specific government objectives and the implementation of funding programs expressly designed for their achievement within a contractual arrangement. The emergence of contractual funding models which specify terms and conditions is a relatively new development in the evolution of university funding mechanisms.

Although some of the principles of contractual funding first surfaced in continental Europe in Denmark and the Netherlands, it is in the United Kingdom that the implementation of comprehensive contractual funding seems to be the most advanced. There, the administrative relationships between universities and government

12. Organization for Economic Co-operation and Development, Financing Higher Education: Current Patterns, Washington, 1990, p. 60.

13. The Task Force on Resource Allocation has released a background paper entitled, University Transition Assistance Projects: Implications for University Restructuring?, June 1994, assessing the 1992-93 Transition Assistance envelope.

as well as governmental expectations of university service delivery are annually described in Financial Memoranda entered into between the Higher Education Funding Council of England and individual institutions. These agreements incorporate a wide range of requirements ranging from the need to account for funds allocated for the support of teaching and research to the rules for dealing with capital transactions. They also detail the responsibilities of an individual institution with regard to its allocation of funding for teaching and research.

Australia also may be moving towards a comprehensive system of contractual funding based on the negotiation of educational profiles allowing each institution to develop and be funded in the way which best fits its particular mission and objectives. The Australian initiative was framed within the context of a "Unified National System" which universities were invited to join if they wanted access to public funding. Specific university funding levels in Australia are to be determined using the educational profiles, which describe an institution's current and planned student loads, completions by course type and teaching mode, and its research activities. For further information on other jurisdictions see the Task Force's Background Paper University Funding Mechanisms: An International Comparison.

4.0 Examining Approaches to Change

In developing advice to the Minister, the Council has explored approaches to meeting some of the challenges facing the Ontario university system which either could be implemented by universities or enabled through the funding allocation system or both. Some approaches are incremental in nature, some more fundamental. **They are put forward for discussion and reaction.**

In considering a new funding allocation system for Ontario universities, it is useful to explore possible approaches to addressing each of the five issues identified below, whether or not there are funding implications for each of the issues raised, and if so, whether the issue should be addressed through the general funding system or through special funding envelopes.

This section examines five key aspects of change in universities:

- Accessibility
- Quality
- Balance among teaching, research and community service
- Restructuring and professional program rationalization
- Responsiveness and accountability.

4.1 Accessibility

The Council is exploring ways in which universities could accommodate some or all of the projected increases in enrolment demand while maintaining or enhancing the quality of the learning experience for a student population that is increasingly heterogeneous. Equally important, as rapid innovations in the workplace demand ever more sophisticated and technological skills, it appears that there is a growing requirement for a more flexible system that provides a wide range of education, training, retraining and upgrading opportunities designed to meet the needs of Ontarians throughout the various stages of their lives and careers.

However, access cannot be enhanced at any cost. Within the current context of constrained public resources and without compromising the quality and integrity of an Ontario university education, enhanced access must be achieved by means which are efficient, effective and affordable. In meeting this challenge, the demands of both access and quality must be addressed without jeopardizing public confidence in the integrity of the learning experience underlying an Ontario university degree. As outlined below, there may be changes which can be made by universities to better meet the needs of society.

Innovations in Teaching and Learning

Innovations in organizing the university teaching and learning process to foster accessibility may include changes which are technological as well as non-technological in nature. These innovations may result in cost savings and increased effectiveness which could help to ameliorate some of the pressures that are challenging the university system.

A major consideration in improving accessibility is effective use of faculty time. This has been done in the past by increasing the number of large classes, thereby freeing up faculty resources for upper-year course offerings. However, adjustments, such as increased class size, require additional planning, the development of specially designed curricula, and new approaches to teaching. Other approaches, such as independent study and peer learning, have the potential to improve quality while helping to promote more effective use of faculty time. Audio-tutorial methods, recently enhanced by the use of computers, may reduce the pressure on laboratory access. In addition, support staff and teaching assistants may take responsibility for some of the administrative functions associated with teaching in order to keep faculty members available for those activities which demand their expertise and which require face-to-face faculty-student contact.

The application of technological innovations to the delivery of university courses may also result in enhanced and more flexible access to university course offerings. Visually-based modes of instruction such as interactive computer tutorials and interactive video-linked courses facilitate greater student access by expanding the range of times and places where courses are offered. The start-up and operating costs of technologically-mediated instruction can be substantial and universities are having to make significant investments in computer hardware and software to establish multi-media laboratories and distance education networks that are needed to take full advantage of these technological alternatives. In a constrained funding environment, the benefits and economies to be achieved need to be weighed against the additional costs involved.

Flexible Scheduling

In order to make university courses and programs more accessible to the non-traditional student including employed students and mature students with family commitments, universities need to explore more flexible scheduling formats. These may include providing programs at off-campus sites such as the workplace or in community centres located in high-density population areas. It may also involve more weekend, week-night and concentrated short-course scheduling. Finally, modifications to the scheduling of courses and restructuring of the academic year may result in alternative scheduling which better responds to students' academic needs and fiscal constraints.

With all of these approaches issues arise concerning potential enrolment levels and the costs of delivery. This is particularly true with respect to restructuring the academic year along the lines of a trimester system. It is often argued that economies can be realized through more efficient use of the physical plant with a year-round academic schedule. However, it must be verified that demand for full-time study is sufficiently large in the summer and that the course duplication required in trimester scheduling to give sufficient breadth of course offerings in the summer term is economical. It is not known whether an increase in the number of universities working on a trimester system would be cost-effective.

Bridging Programs

Students who lack the usual pre-requisites for university admission have limited opportunity to obtain assistance to upgrade their skills and demonstrate their ability to pursue a university-level education. Currently, two public policies preclude institutions from using MET operating grants to provide additional support for students in transitional year and bridging programs. The policies are based on the underlying assumptions that students should come to university in Ontario prepared for it and that secondary schools are the most appropriate places to provide remedial preparation. Despite this lack of public support for non-credit courses, many Ontario universities still offer special courses of a transitional or bridging nature in order to enhance accessibility for individuals who would not otherwise attend university. Those institutions who undertake these activities do so in the spirit of community service (the University of Toronto is the only university which has a provincially-funded Transitional Year program).

Increased availability of transitional year and bridging programs may enhance access for students from under-represented groups to university education. Such programs may also improve the success rates of these students once they have enrolled in degree-level university studies. The issues then are whether universities should be providing bridging programs, what form they should take and how they should be funded.

Credit Transfer and Institutional Articulation

Accessibility and mobility for students may be further enhanced by increasing the number of program linkages between universities and Colleges of Applied Arts and Technology (CAATs). Jointly-operated concurrent programs may reduce costs for students and for society by creating more efficient and effective paths for combining the skills and training offered by the CAAT system with the theoretical and analytical approach to learning offered at the university level. A recent survey undertaken by the Council on University Planning and Analysis (CUPA) found that *[t]here is, among institutions in both sectors...a clear willingness to explore natural linkages and areas of collaboration; to this end, there has already been a significant degree of movement toward closer ties, including a recognition of the barriers that exist and attempts to deal with them in constructive and progressive ways.*¹⁴ In 1989, Vision 2000 documents indicated that there were four concurrent university-college programs in place in Ontario. According to a 1993-94 survey (conducted by Elizabeth Pearce, a graduate student in Higher Education at the Ontario Institute for Studies in Education [OISE]), there are now 20 such programs with approximately 400 students enrolled, involving eight colleges and six universities in Ontario as well as three out-of-province institutions.

The CUPA survey indicated that deterrents to university-college co-operation are both attitudinal and financial. Attitudinal or "cultural" deterrents originate in the view that too much collaboration runs the risk of compromising the special identities and missions that distinguish colleges from universities. However, it was also reported that universities with successful linkages with colleges found that the academic integrity of the programs in both sectors was not only maintained but enhanced. In fact, some institutions indicated that there were no perceived deterrents, or no deterrents to co-operation that could not be surmounted.

Where deterrents were identified, they could be summarized as follows:

- no joint processes for approval and funding of college and university programs or for student application processes, which complicates program establishment and student choices;
- different admission requirements and different preparations for college and university entry reduces student mobility which is compounded by the lack of funding for bridging or transition programs;
- there are additional start-up and operating costs in mounting university-college co-operative programs related to program planning, development, implementation, and administration;
- there are differences between the two systems in funding, policy objectives, tuition fees and regulations concerning ancillary fees which add complexity to the establishment and operation of co-operative activities;
- the present funding systems make it difficult to claim and count enrolments in integrated programs and to ensure that each institution is allocated its due share of funding; and
- the assessment and granting of credit transfers is currently labour intensive (generally done on the basis of course content), rarely known in advance to permit the student to make informed choices, and often disappointing in the number of credits awarded, adding expense for students.

14. Council on University Planning and Analysis, University - CAATs Barriers, Resource Allocation Reference CUPA Research Project #8, July 1994.

4.2 Quality

The pursuit of quality and excellence is, and must continue to be, a fundamental aspect of all university activity. Society depends on the quality of teaching, research and community service which is offered by universities. Concerns have been expressed about the impact on quality of recent increases in staff-student ratios, reduced access to library materials and equipment, declining preparation of new entrants and ineffective teaching procedures.

It is in the public interest to maintain and enhance the excellence of the Ontario university system. As relatively autonomous institutions, universities have the bulk of the responsibility for ensuring that their teaching and research efforts and their community services are of high quality. Students have expressed to the Council their expectations of consistent quality in all of the universities' activities, including services and administration. Assessment of quality is currently achieved through a variety of mechanisms, including: graduate and professional program accreditation processes, program evaluations, peer review and competitive funding for research grants, faculty and staff appraisal and development programs, external institutional advisory boards and constant interaction with local communities.

Teaching, research and community service are discussed below in an effort to explore ways in which the maintenance and enhancement of quality can be realized in conjunction with expectations for greater accessibility in a period of constrained public resources.

Teaching and Learning

Teaching and learning are at the core of the university's mission. In carrying out this mission, it is generally agreed that while universities need to be responsive, they are relied upon to uphold academic standards and to ensure that students have the opportunity to benefit from, and to succeed in, their university careers. They also have an obligation to provide library and laboratory facilities to promote learning; an academic climate conducive to learning; an environment on campus that engenders a sense of security and belonging in all students; and to respond professionally to the needs and expectations of students as consumers of the various ancillary services provided within the university community.

The issue is not simply to work harder at teaching, but to work smarter -- to engage students in more intensive and effective learning communities; to shift from passive to active approaches to learning; to shift from instructing students about things (covering objects) to helping students learn about how to do things (acquiring complex abilities) and to acquire the deeper levels of knowledge we call understanding and judgement.

Russell Edgerton, "The Tasks Faculty Perform",
Change, Volume 25, Number 4, 1993, p. 6.

In Canada, there is a growing concern about the quality of the learning environment evidenced in the Report of the Commission of Inquiry on Canadian University Education. Other studies of universities undertaken in Manitoba, New Brunswick, Nova Scotia and Saskatchewan also argued that there was a need for universities to place more emphasis on the quality of teaching and learning opportunities -- especially those provided to undergraduate students. These reports also promoted the notion of students as "consumers" of university services and advocated enhanced consumer awareness on their part. In Ontario, the Council recently made recommendations to the Minister concerning the implementation of undergraduate academic

program quality reviews for undergraduate programs.¹⁵ There has also been a great deal of discussion in other countries about the quality of undergraduate education, as well as about the potential conflict between undergraduate teaching and research because of the emphasis placed on research. It is an emerging issue not only for public institutions but also for the most prestigious private research universities.¹⁶

Although the lecture and seminar formats continue to dominate the university classroom, departments, discipline associations and teaching and learning centres increasingly advocate measures to enhance the traditional teaching and learning mode, especially given larger class sizes and ethnocultural diversity. Measures may include providing professors with sensitivity training in order to overcome such things as sexual and racial biases; techniques derived from the Harvard Assessment Seminars designed to assist faculty in examining what is taught and what is learned, such as the "One-minute Paper" providing feedback to the professor after each class; courses on teaching and learning in higher education for faculty and senior graduate students; promotion of peer teaching and study groups; the creation of teaching dossiers; and changes to the promotion and tenure reward structures.

Technological advances also may suggest possibilities for the enhancement of learning and may provide the means to respond to the student as an autonomous, self-paced learner. Teaching large numbers of students requires innovative strategies to be effective.¹⁷ Visual support materials such as videotape and videodisc may help retain student interest, particularly in large classroom settings. Computer-based aids can also expand the effectiveness of instruction. For example, computer networking makes it possible for students to communicate more effectively with instructors as well as gain access to a wide range of materials from institutions around the world. Computer simulations can permit students to experiment with and manipulate the facts and concepts of subjects they are studying in a physically and environmentally safe setting. Under this approach to learning, the task for the professor becomes one of organizing and constructing a learning environment that allows for more creativity and versatility. Initial research indicates that many students expect technologically-mediated options to be made available to them; that they prefer visually-based alternatives and that they can realize higher academic achievement in significantly less time using technologically-mediated modes of instructions. Nevertheless, it will be important to concentrate on appropriate uses of technology so that students do not miss out on valuable direct interaction with professors, particularly where mentoring is important.

Finally, changes to the curriculum may have the potential to reduce demands on faculty and re-direct resources to maintaining and enhancing academic quality. These changes may include: rationalizing course offerings; providing co-operative education; basing curricula on problem-solving and case method approaches;¹⁸ more interdisciplinary programming; re-introduction of core curricula for first-year students; and streamlining the number of optional

15. Ontario Council on University Affairs, Advisory Memorandum 93-VI, Undergraduate Academic Quality Reviews, 1993.

16. Donald Kennedy, "Making Choices in the Research University", Daedalus, Volume 122, 1993, pp. 127-156; and Derek Bok, Higher Learning, Harvard University Press, Cambridge 1986.

17. A series of case studies which offer some valuable insights on teaching effectively is found in Graham Gibbs and Alan Jenkins, eds., Teaching Large Classes in Higher Education: How to Maintain Quality with Reduced Resources, Kogan Page: London, U.K., 1992.

18. Perhaps one of the most outstanding examples of this is the problem-solving approach to medical education developed by McMaster University which has been adopted elsewhere in Ontario (University of Toronto and Queen's University) and as far afield as Harvard University. See Don Margetson, "Current Educational Reform and the Significance of Problem-based Learning", Studies in Higher Education, 19, 1994, p. 13.

courses. Such changes also have the potential to accommodate student diversity and increase relevance. The Council is continuing to review the impact of innovations, such as technological mediation, on teaching and learning. The Task Force on Resource Allocation plans to make background information on teaching and learning and technologically-mediated instruction available later this year.

At the graduate level, Ontario universities have taken steps to ensure that graduate programs are of high quality through a process of rigorous periodic appraisals conducted by the Ontario Council on Graduate Studies. In addition, deans of graduate studies and others are examining ways in which to reduce the time-to-completion for students in many doctoral programs. Nonetheless, some of the concerns expressed about the quality of undergraduate teaching and learning also need to be considered about the graduate level. For example, SSHRC is currently examining the question of quality in supervisory relationships.

Research

Societies depend on university research for intellectual, economic, social, artistic and cultural development. In the area of science and technology, it has recently been estimated that universities in Canada perform 26 per cent of all Canadian research and development and most of the basic research.¹⁹ In the humanities, social sciences, and fine arts fields, universities make similarly large contributions. The Ontario universities' vice-presidents/deans of research recently noted:

*In today's changing world, research is one of the wisest investments a society can make. More than ever, in the emerging knowledge-based economy, Ontario needs universities with a healthy research infrastructure to provide education of high quality, to foster economic competitiveness and to contribute to social and human development.*²⁰

Any changes to the funding mechanism should protect Ontario's investments in university research, and the associated artistic, cultural, economic and social benefits of research activity to Ontarians.

The Task Force on Resource Allocation's preliminary estimates indicate that the provincial Government invested between \$800 million and \$1.1 billion in 1992-93 in the research mission of Ontario's universities, including about \$30 million in supplementary assistance for research overheads through the research overheads envelope. The federal Government contributed a further \$300 million to the research function. This substantial investment supports the research component of the work of more than 13,000 full-time faculty and many other highly skilled staff and students as well as research infrastructure, including equipment and capital. The Task Force on Resource Allocation is continuing its examination of the sources of research funding and is monitoring federal deliberations concerning research funding and a national research strategy.

Ontario society continues to reap benefits from quality university research. There is no question that many scholars have, through their honours and accomplishments, brought great distinction to their universities and their province by extending the frontiers of knowledge, providing an understanding of our society and its future needs, and contributing to technological

19. Industry Canada, Resource Book for Science and Technology Consultations, Vol. 1, Canada Ministry of Supply and Services, Ottawa, June, 1994.

20. Vice-Presidents/Deans of Research (or equivalent) of Ontario, The Benefits of Ontario University Research, presented to the Ad hoc Committee on Resource Allocation, June 2, 1994.

and economic development. To maintain quality, research undertaken within universities is regularly evaluated by peer-adjudicated competitions of the federal granting councils, and peer review for journals and other publications. It is also reviewed by the Ontario Council on Graduate Studies' graduate program quality appraisals process, and through quality appraisals of departments and faculties undertaken by individual universities.

Society's demand for high quality research and instruction and the current environment of limited resources is placing competing pressures on universities. In reaction to this dilemma, the Royal Society of Canada, the federal Government's granting agencies, and others have called for more strategic focus in university research in order to concentrate research funding on proven researchers and the most promising new researchers. The argument supporting such a strategy is that government's investment in research will be more effective if concentrated. The alternative perspective is that it is very difficult to predict what will result in a research breakthrough or who will accomplish it, and that much of the advancement of knowledge is an accumulation of smaller contributions. Applied research which leads to practical applications usually requires an enormous and time-consuming prior investment in basic research. This fact has been documented for biomedical sciences in a thorough investigation of the basic research underlying treatment of cardiovascular and pulmonary diseases.²¹

The Ontario university vice-presidents/deans of research concluded that:

*The ultimate test of research success is the return on the investment, both in social and economic terms...Without a strong research base, the government's higher education objectives will not be met, and Ontario residents will be unable to secure the high quality training on which the provinces' future as well as their own depends.*²²

The challenge is clearly to ensure that high quality research is recognized and promoted in Ontario's university funding arrangements.

Community Service

For the purposes of this review, the Council has defined community service as service external to each institution. (It recognizes that other activities, internal to universities, are called this in some institutions.) The broader community looks to universities for high quality expertise and a wide range of other services. Community service can also take the form of institutions making their facilities, including libraries, galleries and buildings available for community use. Individuals, governments, business and labour as well as social, artistic and cultural organizations frequently seek out the expertise of university faculty, staff, students and administrators, and university facilities for a variety of purposes. Some community service is provided on a voluntary basis, such as service on peer-review committees and government committees dealing with outreach. In other cases, faculty are remunerated under provisions set out in collective or other employment agreements between faculty associations and their universities.

The Task Force on Resource Allocation's preliminary estimates suggest that on average 11 per cent of total university income is devoted to community service. The quality of

21. Julius H. Comroe, Jr. and Robert D. Dripps, "Scientific Basis for the Support for Biomedical Science", *Science*, 192, pp. 105-111, 1976.

22. Vice-Presidents/Deans of Research (or equivalent) of Ontario, *The Benefits of Ontario University Research*, presented to the Ad hoc Committee on Resource Allocation, June 2, 1994, pp. 1 and 14.

the services provided, which can include faculty research on collaborative projects with industry, technology transfer, expert witnessing, service on commissions and the provision of facilities for conferences or artistic productions, contribute significantly to our economic, social and cultural development.

New ideas and new ways of doing things emerge from this kind of collaboration. Research results are transferred to potential users. For example, many of the successful biotechnology firms now operating in Canada owe their origin to knowledge-generating and contractual research undertaken by faculty.

The challenge in this area is how to ensure the quality of the community services provided is maintained and enhanced.

4.3 The Interrelationships and Balance among Teaching, Research and Community Service

In responding to the environmental pressures identified earlier in this paper, one of the issues that challenges universities is how best to respond to increased demand for the teaching element of its tripartite mission. In responding to increased enrolment demand within the context of fiscal constraint, institutions may be asked to expand the teaching function with neither a requirement nor the resources to increase their activity in research and community service.

In some U.S. states, governing and co-ordinating boards have been mandated to investigate this challenge and in some cases legislation has been passed prescribing minimum teaching loads for all full-time faculty. While such measures are simplistic, they raise the question whether academic work may be restructured to maintain quality and improve efficiency, without undermining the essential research endeavour of the university. In Ontario, the present balance among the activities of teaching, research and community service has evolved in a relatively independent manner without conscious policy. *Ontario universities until the 1950s were primarily teaching institutions, designed to transmit accumulated knowledge to successive generations*²³. At that time, the predominant view of the academic profession was that of teacher-scholar. Sometime in the late 1950s and early 1960s in Canada, this view of the academic profession began to change. Similar patterns are found in the United States, where, according to Rice, "[s]cholarship became research; teaching and research became activities that competed for the faculty member's time".²⁴ Since then, a single paradigm of excellence has emerged, with research productivity at its pinnacle. With this change in emphasis, universities shifted the balance in resources devoted to teaching, research and community service.

Table 3 provides two views of the nature of faculty work. The work of the university has traditionally been viewed as including functions composed of teaching, research and community service. More recently, Rice, Boyer and others have suggested a new view to understanding faculty work involving four categories of scholarship. This effort is reminiscent of Bonneau and Corry's 1972 report which distinguished between frontier research and reflective inquiry.²⁵

23. Blair Neatby, "The Academic Profession: A Historical Perspective - 'Community of Scholars in Ontario'", *The Professoriate - Occupation in Crisis*, The Higher Education Group, The Ontario Institute for Studies in Education, 1985, p. 20.

24. R. Eugene Rice, "Toward a Broader Conception of Scholarship: The American Context", in Thomas G. Whiston and Roger L. Geiger, eds., *Research and Higher Education: The United States and the United Kingdom*, The Society for Research into Higher Education, 1993, p. 188.

25. Louis-Philippe Bonneau and James Alexander Corry, *Quest for the Optimum*, Ottawa, AUCC, 1972, pp. 31-39.

Table 3

THE NATURE OF FACULTY WORK IN THE UNIVERSITY -- TWO VIEWS

The Conventional View:

Teaching: The delivery of academic programs leading to degrees or diplomas at all levels. Includes the design, revision, administration and delivery of instruction, and the evaluation and counselling of students.

Research: The search for new knowledge and/or deeper understanding through both empirical and intellectual inquiry which could be pure or applied. The conceptualization of questions, the preparation of proposals, the implementation of programs, and the communication of results. In the fine and performing arts, a model focusing on creativity is more germane.

Community Service: Talent and expertise (both paid and unpaid) made available to the external community through the provision of non-credit continuing education, contract research, consultative advice, adjudications, consultations, evaluations, service on commissions, advice to advocacy groups, arbitrations, and commissioned works of art. Community service also includes service to a discipline -- professional associations, committees of research and external review committees.

The New View: Four-fold Categories of Scholarship after Rice, Boyer and others*

The Scholarship of Discovery: Pure research, extension of the frontiers, the pursuit of knowledge for its own sake.

The Scholarship of Integration: Synthesis of knowledge, looking for new relationships between the parts and whole, the past, present and future. An approach to knowledge across disciplinary boundaries.

The Scholarship of Practice: The application of knowledge to the problems of society, especially through professions such as medicine, law, engineering and social work.

The Scholarship of Teaching: Includes knowledge of effective ways to represent subjects, and the ability to draw the strands of a field together in a way that provides both coherence and meaning; placing what is known in context and to open the way for connections to be made between the knower and the known. In effect, turning scholarly inquiry into the creation of meaning.

* R. Eugene Rice, "Toward a Broader Conception of Scholarship: The American Context", in Thomas G. Whiston and Roger L. Geiger, eds., Research and Higher Education: The United States and the United Kingdom. The Society for Research into Higher Education and Open University Press, Buckingham, 1992. Ernest Boyer, Scholarship Reconsidered. The Carnegie Foundation, Washington, 1990.

What faculty do and how they spend their time are critical elements in understanding how universities conduct teaching, research and community service. Including duties related to administration and governance, there are essentially four components to faculty work:

- teaching, supervising, evaluating and counselling students;
- conducting research and undertaking scholarship;

- engaging in external activities such as consulting, professional activities, and various types of community service work; and
- playing a role in the administration and governance of universities either by taking on administrative functions as department chairs or management functions as deans, directors and so on, or by taking part in the collegial decision-making process of university governance.

Although detailed information on how faculty distribute their time during teaching terms over these four activities is limited, existing data do point to basic commonalities across jurisdictions.²⁶ The most recent Canada-wide work, *The Academic Profession in Canada*, conducted in 1986, provides a comprehensive view of the contemporary Canadian system.²⁷ While the Council welcomes more recent information, it finds the 1986 survey results were informative and consistent with studies done in the United States and with a small study undertaken by the Council on University Planning and Analysis and the Ontario Council on Graduate Studies (OCGS).²⁸ At the time of the survey, Ontario faculty reported on average that they worked at least 48 hours per week during a teaching term.

In general, Ontario faculty reported they spent approximately 49 per cent of their time on teaching, 26 per cent on research, 14 per cent on administration and 11 per cent on external community service during a teaching term in 1986. Again, this is similar to other jurisdictions. This breakdown varies somewhat by institutional type as indicated in Table 4. The CUPA/OCGS study estimates that Ontario faculty during a teaching term spend between 55 to 66 per cent on teaching, 25-29 per cent on research, and 5-20 per cent on "service".²⁹

The Task Force on Resource Allocation estimates that data from *The Academic Profession in Canada*, on an annualized basis, result in proportions on average of approximately 40 per cent for teaching; 35 per cent for research; 13 per cent for administration; and 12 per cent for external community service.

A survey of faculty workload studies elsewhere, described in Table 4, shows that on an institutional basis academic work is generally organized in much the same way across publicly-funded universities in North America. The proportion of faculty time allocated to the

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26. The Task Force on Resource Allocation is releasing a background paper on the structure of academic work which provides a review of this information.
27. The database was obtained from the Institute for Social Research, York University. The original survey was conducted by Professor Jos. Lennards, Glendon College, York University. It gathered information on 5,217 faculty nationally of which 1,820 faculty were in Ontario (the Ontario dataset did not include faculty from Ryerson Polytechnic University because it was not a university at that time). The survey was similar in design and content to a number of the large surveys of U.S. faculty. The results of the survey have not been widely published though they were used extensively in a Quebec government report on faculty workloads in Quebec universities.
28. The CUPA/OCGS study interviewed a number of department heads and deans to get their impressions about average workload patterns across a representative sample of departments. The study developed estimates of the total time worked by faculty and the percentage of time allocated to teaching, research and "community service" by using U.S. figures to estimate the missing service component. It focused on the teaching and research components of faculty work and did not cover external service nor all aspects of administration. The CUPA/OCGS study suggests that Ontario faculty work between 48 and 61 hours per week during a teaching term.
29. In the CUPA study, "community service" was defined as time spent on internal committee work. In the Task Force on Resource Allocation's analysis, this would be considered administration and not community service which has been treated as service external to the university. Consequently, the CUPA analysis is not comparable to the analysis undertaken for this Discussion Paper.

Table 4

FACULTY TIME AS A PERCENT OF TOTAL HOURS WORKED PER WEEK IN A TEACHING TERM BY FUNCTION AND INSTITUTION TYPE FOR VARIOUS JURISDICTIONS

FACULTY FUNCTION	TEACHING			RESEARCH			ADMINISTRATION			COMMUNITY SERVICE		
	Research	Doctoral Type	Comprehensive	Research	Doctoral	Comprehensive	Research	Doctoral	Comprehensive	Research	Doctoral	Comprehensive
Database: The Academic Profession in Canada, 1986												
Ontario	45	50	58	28	26	20	15	14	12	12	10	9
Atlantic		51	59		25	20		14	13		11	9
Quebec	41	44	46	30	28	29	16	16	15	12	12	11
West	46	49	59	28	28	20	15	14	12	10	9	9
Other Canadian Studies												
CUPA (Ontario)		55-56 (All institutions)		25-29 (All institutions)			Included in Community Service			5-20 (All institutions)		
Bertrand (Quebec)		44 (All institutions)		26 (All institutions)			16 (All institutions)			14 (All institutions)		
Duxbury (Carleton U.)		58 (All institutions)		21 (All institutions)			12 (All institutions)			9 (All institutions)		
U.S. National Studies												
NSOPF	43	67	62	29	22	11	14	14	13	14	16	13
Carnegie	44	53	65	37	28	16	14	14	13	5	6	6
U.S. State Studies												
South Carolina	57		77	23		4	14		13	6		-
Nevada		60			25			12			3	
Virginia		45	66		34	17		21	17	(Included in Administration)		
Arizona	45	58		35	23		13	15		7	4	

Source: Task Force on Research Allocation background paper on the structure of academic work, which is forthcoming.

Note: The three types of institutions are categories in the Carnegie Foundation's classification of U.S. postsecondary institutions. This classification was adapted for use in Canada at the University of British Columbia. Institutions are classified by mission, program mix, levels of research funding, and other characteristics. While the classification has a prestige dimension in the U.S., its use here is not intended to imply a ranking of Ontario universities. It is used solely to establish a basis for comparing other Canadian and U.S. institutions with those in Ontario.

CUPA: Council of University Planning and Analysis, Council of Ontario Universities.

NSOPF: National Survey of Postsecondary Faculty.

universities' three main activities is roughly the same in all universities with similar missions. Ontario universities follow patterns similar to publicly-funded research universities, doctoral universities and comprehensive universities in North America³⁰. The only variation from other jurisdictions is for comprehensive universities, where Ontario institutions have a higher emphasis on research than in public comprehensive universities in the United States.

Despite strong cultural norms in North American universities about the appropriate balance between teaching, research, and community service, there is significant variation in the amount of time individual faculty members devote to each activity, particularly to teaching and research. Faculty research productivity, at least in terms of reported outputs, appears to vary significantly. (See the Task Force on Resource Allocation's background paper on the structure of academic work which is forthcoming.)

The Link Between Undergraduate Teaching and Research³¹

There is a belief, now an integral element of university culture, that undergraduate teaching and research are closely coupled and symbiotic activities. The argument against increasing teaching loads without corresponding increases in individual faculty research activity is that the two activities are linked at universities. In fact, amongst those who have reflected on the linkage between teaching and research, four views have emerged: research and undergraduate teaching are closely linked; research and undergraduate teaching are independent; research and undergraduate teaching are conflicting; and research and undergraduate teaching are incompatible. The view that undergraduate teaching is incompatible with the life of a mature scholar is probably both the oldest and least accepted of these views today. Increasing attention, no doubt fuelled by the empirical research of the past thirty years or so, has been given to the views that research and undergraduate teaching are at least independent and, perhaps, conflicting functions.

As Table 5 indicates, the empirical research on the links between undergraduate teaching and research suggests that there is little evidence of necessary links between effective undergraduate teaching and research. Excellent researchers may well be excellent teachers but there is nothing to suggest that one is a prerequisite for the other. Similarly, there may be superb teachers who have little or no active engagement in what Rice, Boyer and others call discovery research.

While these results appear clear cut, the changing definition of research over the period of these studies suggests some caution in this interpretation. It is not clear how much the various studies speak to the question of graduate and fourth year honours teaching, for example. Empirical studies which take account of Rice and Boyer's four categories of scholarship would help to clarify the interactions among these functions.

30. Using the U.S. Carnegie Foundation classifications adapted to Canada by the University of British Columbia. The classifications are different from those used by Maclean's Magazine in its annual review of universities.

31. The Task Force on Resource Allocation's background paper on undergraduate teaching, research and consulting/community service deals fully with these issues.

Table 5
SOME EMPIRICAL STUDIES OF VIEWS ON TEACHING/RESEARCH INTERACTIONS

Author(s)	Year	Sample	Conclusions
Based on student evaluation of teaching			
Feldman	1987	re-examination of 29 studies	independent ³²
Astin	1993	multiple surveys, U.S. students	conflicting
Including other measures of evaluating teaching			
Fox	1992	4,000 U.S. social scientists	conflicting
Ramsden & Moses	1992	2,000 Australian faculty	independent/conflicting
Volkwein & Carbone	1994	27 departments at a U.S. research institution	independent

Source: Task Force on Resource Allocation's background paper on undergraduate, teaching, research and consulting/community service which is forthcoming.

Teaching, Research and Community Service Expenditures

Universities in Ontario receive funds from various sources and much of it is earmarked for specific purposes. Because of this, they practice what is known as fund accounting. Typically, university financial statements track financial activity in six funds - operating, ancillary, sponsored research, trust, capital, and non-expendable trust and endowment. The Task Force on Resource Allocation has examined the combined financial records of the Ontario system for the year 1992-93 and produced an innovative presentation of the information. The financial records are presented by the three functions: teaching, research and community service. Every activity has been classified. The methodology and estimates are set out in a technical paper and the Task Force on Resource Allocation would welcome input to refine the analysis.³³

Because faculty are the primary producers of the university's mission, the cost of supporting teaching, research and community service is driven significantly by the allocation of faculty time. This provides a strategy for allocating faculty expenditures to each of the three key functions. This strategy was also employed by the Canadian University Business Officers

32. The 29 studies involved about 60,000 students over the period 1966-84. Comparison of research productivity with overall teaching effectiveness for the combined studies yielded an average $r = +0.12$, or less than 2% correlation between the two variables.

33. The Task Force on Resource Allocation is releasing a technical paper on the costs of teaching, research and community service outlining the methodology developed to undertake this analysis.

(CAUBO)³⁴ in determining the indirect cost of research and development expenditures in Canadian universities and by Statistics Canada³⁵ in estimating research and development expenditures in higher education for reporting general expenditures on research and development (GERD) to the OECD. The same strategy is used in many other jurisdictions for estimating university costs.

In 1992-93, Ontario universities spent \$3,990 million, excluding capital expenditures. Based on a model described in the technical paper, the Task Force on Resource Allocation estimates that these funds were distributed across the primary activities of the mission as follows: between \$2.0 billion and \$2.3 billion to teaching; between \$1.3 billion and \$1.6 billion to research, and approximately \$400 million to community service.

Using the same model, the Task Force on Resource Allocation has also estimated how much the Ontario government provides to each of teaching, research and community service. The approach taken was to assign revenue from various sources to one of the three elements of the mission. For example, student tuition fees go to fund teaching. Other assignments are less obvious and are a matter for discussion. Within each element, the provincial Government's block operating grant is used to balance revenue from attributable sources with expenditures on the individual element. For example using this methodology, non-government revenues of \$1.3 billion can be identified as being specifically for teaching. The difference between \$1.3 billion and the amount actually spent on teaching must, therefore, be made up from the provincial Government's block operating grant. This analysis suggests that the Ontario government, through the operating grant mechanism, spent somewhere between \$800 million and \$1.0 billion on teaching and between \$700 million and \$1.0 billion on research in Ontario universities in 1992-93.

This type of analysis challenges a number of conventional beliefs about the funding of Ontario universities. For example, it is usually believed that a student's tuition funds about one quarter of the cost of instruction. This analysis indicates that it is probably closer to 35 per cent. Also, it is widely believed that the federal Government is the major provider of research funding for universities. However, taking all of its contributions into consideration, including the allocation to faculty salaries and other targeted research grants and contracts, Ontario spent between \$800 million and \$1.1 billion on research in Ontario universities in 1992-93. This compares to the federal government contribution of \$300 million which accounted for approximately one quarter of the total research costs in Ontario.

4.4 Restructuring and Professional Program Rationalization

Another option universities could explore in responding to pressures would be restructuring the way in which they operate. Restructuring and program rationalization could result in the dislocation of people if programs and functions were discontinued. Since universities are labour-intensive organizations, the management of people, their needs and their personal development as well as the relationships among them are the most challenging aspects of managing change. It appears that university human resource policies and historical practices could present formidable deterrents to rationalization and restructuring. Some universities have exigency clauses in faculty collective agreements, for example, that would make it difficult for adjustments to occur unless a state of bankruptcy had been declared and independently verified. An important concern is whether

34. Canadian Association of University Business Officers, Report of the Study on the Costs of University Research, August, 1982.

35. Statistics Canada, Estimation of Research and Development Expenditures in the Higher Education Sector, 1990-91, ST-92-03, August, 1992.

universities would be able to achieve sufficient flexibility in their governing practices to undertake restructuring while safeguarding fairness, due process, and academic freedom.

Academic Restructuring

As with other organizations facing external pressures, one option is to restructure how the organization carries out its primary activities or mission. In the case of university restructuring, this could take the form of reshaping the whole academic enterprise or rationalizing programs. Issues which are often raised when looking at academic operations include: whether there is unnecessary duplication in academic program offerings within and among institutions that could be eliminated; whether there are ways to reduce the costs of course proliferation within programs; and whether there are ways to re-organize academic units to minimize administrative overheads.

The literature and experience of many jurisdictions reveal that a number of approaches to academic restructuring are being studied and implemented. These include:

- enlarging the size of academic units by amalgamating departments in order to reduce administrative overhead and to promote interdisciplinary work;
- pruning course offerings to reduce overspecialization;³⁶
- using complementary institutional resources to undertake joint programs involving planning and delivery, e.g. Guelph-Waterloo-McMaster program linkages;
- returning to more structured core curricula in undergraduate programs;³⁷
- reducing duplication in graduate programs;³⁸
- rationalizing programs by cutting and merging;³⁹
- tightening new program funding approval criteria to forestall program proliferation; and
- closing programs as a consequence of negative quality evaluations.

Professional Program Rationalization and Enrolment Reductions

In his reference, the Minister asked the Council to explore the possibilities of professional program rationalization. The Council has looked at professional program rationalization from two perspectives. First, can professional programs be merged or cut in a manner that maintains total system enrolment while achieving savings as a result of having fewer, but larger and more economically-sized programs in the Province? Second, should professional programs be rationalized on grounds of societal need, reducing the number of graduates entering a particular profession?

36. For example, Report of the University Program Review Panel, Looking at Saskatchewan Universities: Programs, Governance, and Goals, March 1993.

37. For example, William F. Massy and Robert Zemsky, "Faculty Discretionary Time: Departments and the Academic Ratchet," Journal of Higher Education, 65, No. 1, pp. 1-22, 1994.

38. Report of the University Program Review Panel, Looking at Saskatchewan Universities: Programs, Governance and Goals, March 1993.

39. Jonathan R. Cole, "Balancing Acts: Dilemmas of Choice Facing Research Universities", Daedalus, 122, pp. 1-36, 1993.

The Council has examined professional programs in 19 discipline areas.⁴⁰ This work was undertaken to assess the potential for rationalization in the province as a whole and to identify the possible cost-savings that might accrue from such approaches rather than to develop specific recommendations for program closure. The Council examined national enrolment data for these programs to determine whether sub-optimally sized programs exist in Ontario relative to other provinces. Bearing in mind regional accessibility considerations, preliminary analyses appear to suggest that there is limited scope in Ontario for achieving major cost savings through closing programs of sub-optimal size alone without reducing total provincial enrolment.

Program rationalization may be justified on the basis of reductions in societal demand. However, a study of societal demand for each professional program is not something the Council was able to undertake within the time available. Decisions about societal demand in professional programs would have to be based on a variety of factors including: balancing student demand, the human resource needs of employers and the professions, the quality of programs, changes in each profession and government policies, and public policy priorities which in certain fields like health play a very large role. Another important aspect of such reviews should be to assess the degree to which a reduction in enrolment within certain fields would have a detrimental impact on under-represented sex, racial and cultural groups.

Approaches to professional program rationalization and/or enrolment reductions could include:

- discipline reviews involving government, the professions and the institutions similar to those undertaken in Nova Scotia, may lead to government decisions to remove funding for programs or decisions to scale back enrolment;
- rationalization of programs using incentive funding to assist institutions with the adjustment costs of faculty and staff relocations; and
- government-mandated financial cuts with institutional identification of specific program rationalization measures, as well as joint university-government efforts to eliminate unjustifiable program duplication, as is being undertaken in Alberta.

Alternative Structures

If enrolment growth over the next few years peaks within the upper register of the 7-19 per cent forecast, fundamental rather than incremental change may be required. To prepare for this possibility, Council encourages debate on how best to accommodate these projected increases. Do the existing institutions within the system have the flexibility to accommodate increased demand or is there a need to look at alternatives, such as creating new free-standing institutions, *de novo* or out of existing parts of universities; establishing new types of structures, e.g. open or distance universities, or developing consortia of institutions? In an environment of fiscal constraint, these options have to be considered in a period of a static or shrinking total public funding.

Reorganizing and Simplifying Administration and Decision-Making

With the primary mission of universities centering on teaching, research and community service, it is self-evident that as many of the institutions' resources as possible should be committed to these functions. Across the entire public sector, the public is demanding

40. University-level programs in the following discipline areas were examined: Architecture, Dentistry, Education, Engineering, Forestry, Journalism, Landscape Architecture, Law, Library Science, Medicine, Nursing, Occupational Therapy, Physiotherapy, Optometry, Pharmacy, Social Work, Speech Pathology/Audiology, Urban and Regional Planning, and Veterinary Medicine.

efficiency in the delivery of services and they want administration and management to be streamlined before front-line services are reduced. Many universities have already taken measures to rationalize their administrative services. They made considerable use of the Transition Assistance funding provided by Ontario in 1992-93 for this purpose. It is quite possible that further economies can be achieved through computer-assisted and automated systems.

A significant share of the burden of restructuring has been felt by support staff of universities, who perform roles as diverse as library workers and research associates to security and maintenance staff. Support staff play important roles in helping universities achieve efficiency in operations. Effective human resource policies, including meaningful participation in governance, are essential to ensure that the importance of their contribution is recognized and enhanced through staff development and training and to give them scope in assisting universities to achieve economy and efficiency in their operations. This raises the question of how can effective human resource policies, especially for support staff, be developed and supported.

As noted in section 4.3, surveys suggest that faculty spend up to 14 per cent of their time on governance and administration in a teaching term. A considerable part of this is service in the decision-making processes of academic units, senates and other deliberative bodies. The question that needs to be asked and has been asked in Ontario and in other jurisdictions is whether decision-making processes and other collegial practices are as efficiently organized as possible.⁴¹ Faculty time is vital for teaching, research and community service; the administration of the departments, faculties and the institution is also important. In many cases, however, there are committees performing similar roles at three, four or more levels within a university.

The challenge will be streamlining decision-making without altering significantly the collegial and democratic processes important to the quality of university communities.

4.5 Responsiveness and Accountability

The public wants to know whether publicly-funded services are provided as efficiently, economically and effectively as possible. They are repeatedly told by service providers that additional money is needed or services will be cut. The public has, however, become more insistent that every attempt be made to maintain if not enhance the quality and quantity of public services before any cutting is done. Public auditors translate these public demands into requirements for greater accountability by recipients of transfer payments from governments. The report of the Independent Committee of Inquiry into Academic and Scientific Integrity at Concordia University casts the issue of the appropriate use of university resources into bold relief and suggests, for example, that some institutional accountability policies and practices may need to be reviewed.⁴²

The current funding mechanism for universities does not spell out clearly what the public is buying for its investment in universities. It does not say how much teaching, how much research and how much community service the public is purchasing for its investment. The operating grants are provided for "operating purposes," and there are few prohibitions as to what the funds may or may not be applied.⁴³ Governments and universities both may have to be

41. For example, the University Education Review Commission in Manitoba reported in excess of 900 committees addressing the collegial governance of the University of Manitoba. See Post-secondary Education in Manitoba: Doing Things Differently, Winnipeg, 1993. For an example in Ontario, see McMaster University, Provost's Advisory Group to Initiate Change: Final Report, October 1993, pp. 3-14.

42. Independent Committee of Inquiry into Academic and Scientific Integrity, Integrity in Scholarship, A Report to Concordia University, April 1994.

43. Ontario Ministry of Education and Training, Operating Grants Distribution Manual, 1993.

clearer about what their expectations are. This would require government to be clearer about what it is buying on behalf of the public, and universities to be clearer about what they are delivering. The Task Force on Resource Allocation's background paper, Funding Mechanisms: An International Comparison discusses various approaches to autonomy, accountability and funding mechanisms around the world.

Because universities' total expenditures are so significant and cover such diverse purposes, there are also issues of transparency. For example, is there a way to measure whether institutional overhead costs are appropriately charged on all sponsored research, for ancillary enterprises and university-associated corporations and are not simply borne by the operating grants and student tuition fees? The Report of the Ontario Task Force on University Accountability proposed a substantial strengthening of accountability policies and practices and an improvement in the level of communications between universities and the broader communities they serve, arguing that such an approach to accountability would be beneficial in improving university practices over time.⁴⁴

44. Report of the Task Force on University Accountability, University Accountability: A Strengthened Framework, May 1993.

5.0 Possible Options for Changing the Ontario University Funding Allocation System

5.1 Funding System Options

University funding allocation mechanisms are an essential element in defining the relationship between universities and governments. Their design both shapes and is shaped by the nature of this relationship. Funding allocation mechanisms are not neutral conduits of grants, but policy instruments which affect the actions of institutions and individuals. In Ontario, the funding allocation mechanism is the most significant instrument of provincial Government policy.

Ontario is particularly challenged by issues of accountability, access, equity and by the prospects of prolonged fiscal constraint. Because of the critical importance of the present and future contribution that Ontario's universities make to the economic, social and cultural well-being of the province, all stakeholders in the university-government relationship may need to imagine significantly different arrangements than those which have sustained the system for the past 25 years.

5.1.1 Objectives of the Funding Allocation System

The long-standing goals of the Ontario university system, which were enunciated by the Council in 1978, are:

1. *To develop a more educated populace.*
2. *To educate and train people for the professions.*
3. *To provide study at the highest intellectual level.*
4. *To conduct basic and applied research including development and evaluation.*
5. *To provide service to the community.*⁴⁵

While these goals are not tied to the funding allocation system, they do represent an historical understanding of the university activities and outcomes that are supported with public funding.

As outlined in the Ministry's *Ontario Operating Funds Distribution Manual*, the current objectives of the Ontario university operating grants formula are more narrow and focused on mechanism characteristics rather than public policy objectives. They are as follows.

- (1) **Funding stability** by preventing extreme fluctuations in institutional income.
- (2) **Funding predictability** to assist institutions in their planning efforts.
- (3) **Equitable** allocations among institutions (where equity is defined in terms of horizontal and vertical equity: horizontal equity being where similar activities are funded in a similar manner and vertical equity being where different activities are funded in accordance with relative differences in costs).
- (4) **Accountability** to the public by linking funds to some quantifiable factor.
- (5) A method that is **simple** to use, understandable and practical to implement.

In the review of the allocation system, which resulted in the introduction of the corridor system, priority was given to funding stability defined as follows:

- a) *protect institutions' funding from the impact of the actions of other institutions;*

45. Ontario Council on University Affairs, "The Ontario University System: A Statement of Issues", *Fifth Annual Report, 1978-79*, pp. 11-13.

- b) *reduce the incentive for institutions to use growth solely for the purpose of increasing their share of total operating grants;*
- c) *provide the opportunity for quality considerations as well as quantity considerations in academic decisions; and*
- d) *reduce short-term variations in funding, which may result from fluctuating enrolment patterns in future years.*⁴⁶

These objectives have an institutional orientation that emphasizes funding characteristics important for distributing funds fairly and in ways useful to institutions in carrying out their missions. As such, they have been enabling in nature rather than directive.

The Council has revisited the current framework of goals and objectives and has assessed the framework's adequacy in responding to the changing environment facing Ontario and its universities. Under consideration is an expanded array of funding allocation system objectives in which there would be a closer relationship between public policy objectives and the funding allocation system.

The expanded set of objectives and characteristics being considered can be categorized into three types:

1. **Public policy objectives** -- which reflect government's objectives for university education as well as principles underlying the ongoing relationship between universities and government.
2. **Funding allocation mechanism objectives** -- which are specific to the allocation of funding among universities and how the mechanism should operate.
3. **Institutional characteristics** -- which concern institutional character.

Each objective is outlined in Table 6 and is presented for discussion purposes. A fourth grouping of **technical criteria** is also found in an information box which follows Table 6. This latter group was developed to evaluate the underlying data used in formulaic allocations and is intended to ensure the technical integrity of any allocative mechanism chosen.

With the changing circumstances faced by the Province and universities, the Council is considering whether a shift in priority may be needed away from the current funding allocation objectives to public policy objectives, which can better reflect the environmental constraints and public expectations faced by Ontario universities. In this way, the funding allocation mechanism could be geared to meeting such objectives. However, there may be mechanisms more appropriate than a funding allocation system to achieve some of the objectives identified; that is, they may more appropriately be addressed through other policy instruments.

5.1.2 Strengths and Weaknesses of the Current System

Many institutions have argued that the strengths of the current funding allocation system are its provision of funding stability and predictability, which they believe have a positive impact on institutional planning, protect universities from the actions of other institutions and provide freedom for each university to develop its own unique mission. Others have pointed to its weaknesses in the areas of achieving inter-institutional equity, responsiveness to accessibility and public policy needs, and simplicity.

When held against the standard established in the last formula revision, as enunciated in the objectives stated at that time, the current funding allocation system can be seen to have performed reasonably well. Indeed, to date, there appears to be no enthusiasm for radical change,

46. Ontario Council on University Affairs, "Modification of the Operating Grants Formula, Advisory Memorandum 86-VII", *Thirteenth Annual Report, 1986-87*, p. 157.

POTENTIAL OBJECTIVES OF THE FUNDING ALLOCATION SYSTEM

TABLE 6

POTENTIAL PUBLIC POLICY OBJECTIVES

Accessibility -- Encourage increased institutional capacity to meet increased enrolment demand for undergraduate and graduate education, and increase accessibility to university programs.

Accountable use of grants and fees -- Enhanced accountability for expenditure of provincial operating grants and regulated fees.

Adaptation and rationalization -- Encourage innovation, co-operation, adaptation and rationalization to increase quality and accessibility, and achieve efficiencies and increases in productivity.

Balance among functions -- Encourage an effective and efficient balance among teaching, research, administration and community service.

Broadened student entry and re-entry points -- Encourage increased responsiveness to societal needs through increased student mobility among educational institutions, and encourage access from under-represented groups.

Equity of employment access -- Provide mechanisms to encourage adaptation needed for increased participation by under-represented groups.

Planned enrolment growth -- Facilitate the planned and co-ordinated implementation of long-term enrolment growth.

Policy flexibility -- Provide sufficient flexibility so that specific policy objectives that government may have in the future can be accommodated by the allocative mechanism.

Quality, including national and international standards -- Teaching, research, scholarship and community service at universities in Ontario should be competitive nationally and internationally with institutions of similar missions.

POTENTIAL FUNDING ALLOCATION MECHANISM OBJECTIVES

Accountability (transparency) * -- Provide accountability to the public by linking funds allocated to some quantifiable factor.

Equity * -- Equitable allocations among institutions (where equity is defined in terms of horizontal and vertical equity: horizontal equity being where similar activities are funded in a similar manner and vertical equity being where different activities are funded in accordance with relative differences in costs).

Funding predictability * -- Predictable funding allocations to assist institutions in their planning efforts.

Funding stability * -- Prevent extreme fluctuations in institutional income.

Objectivity -- Provide an objective mechanism for determining institutional shares of the provincial operating grants.

Private benefaction -- Encourage private donors to provide gifts for operating purposes to be added to the resources of the university where these gifts are incremental to its eligible funding.

Simplicity * -- A method that is simple to use, understandable and practical to implement.

POTENTIAL INSTITUTIONAL CHARACTERISTICS

Institutional differentiation and diversity of mission -- Allow for the evolution of differing institutional missions.

Inter-institutional linkages -- Encourage inter-institutional linkages to promote efficiencies and effectiveness.

Operational effectiveness -- Give universities maximum incentive for effective management and operation.

* Existing funding allocation system objectives.

but a desire, at least among most institutional executive heads, to maintain the current system. There are differences in views, however, with some institutions supporting incremental change. Most institutions arguing for modifications wish to see only moderate change to address perceived inequities in the system. The priorities pursued in the last formula revision, namely enhanced funding stability, have been realized. Government, in calling for this review, clearly feels that other priorities must now be considered.

While the current objectives and priorities may have been well served by the current funding allocation system, as noted above, the standard for assessing the effectiveness of the funding allocation system may need to be altered. Many of the possible public policy objectives identified in the Minister's reference -- accessibility, adaptation and rationalization, teaching, balance among functions, planned accessibility, policy flexibility, and accountable use of operating funds -- stem from a changing environment faced by universities in which the funding allocation system would need to be able to promote these objectives. While these objectives may need to be tempered by objectives in the other categories, the circumstances faced by Ontario universities and the consequent objectives to be met in the current funding allocation review differ significantly from those of 1986.

The Council's Task Force on Resource Allocation has assessed the current operating grants formula system (the Basic or Formula grants envelope and the Transition to New Corridors grants envelope) against each of the objectives outlined in Table 6 to identify possible "deterrents" in the current funding allocation system in achieving the objectives. Key elements of the funding formula that could have an impact on the achievement of the objectives were identified and then evaluated to judge their impact, either separately or together, on the achievement of each objective. This assessment is based on anticipated needs over the next several years and on the specific current provisions of the formula funding allocation system and not just on the conceptual underpinning of the system. The assessment looked at whether the funding formula had features designed to bring about the achievement of such policy objectives rather than whether there was flexibility to enable institutions to pursue the objectives themselves.

The current funding system was found to have a strong positive influence in achieving some objectives, such as funding stability. Most elements of the formula which were reviewed were perceived to have a slightly positive, slightly negative or neutral impact. Where the funding formula was found to have a reasonably significant negative impact on achieving the objectives reviewed, a "deterrent" was identified. Where a relatively significant deterrent was suggested, it is identified as an "X" in Table 7. Where there was some question about its significance, it is identified as "X?".

Technical or Operational Objectives for Underlying Data

No matter which funding allocation system model is adopted, the underlying data used in formulaic allocations should meet the following objectives.

Auditable

The data must be auditable within generally accepted auditing standards.

Cost effective

Information collected must not be expensive to collect, summarize and audit.

Measurable

The factors upon which the allocation is to be made must be measurable and definable for consistent reporting.

Non-manipulable

Institutional income must not be maximized by adjusting underlying data without corresponding changes in activity.

Non-volatile

The data must be able to be collected in a consistent manner over time and not be subject to fluctuations which do not reflect changes in activity.

Relevant

The measures used must be relevant measures that reflect institutional activity and consequent costs.

The following tentative observations have been made. The current formula appears to create a significant deterrent in achieving the public policy objectives of accessibility, balance among functions, policy flexibility, planned enrolment growth, accountable use of operating funds and broadened student entry points. The current formula system is much more effective in meeting funding allocation mechanism objectives and institutional characteristics (see Table 6).

Not surprisingly, the most significant long-term concern is with the current funding allocation system's ability to accommodate the growth or access-oriented objectives (accessibility, and broadened student entry and re-entry points). These concerns pertain, for the most part, to the future. Universities have responded well to previous enrolment demand pressures, enrolling 29,406 student BIUs above their corridor mid-points. With a possible significant increase in demand for the next decade and the reluctance of some universities to enrol additional students for only the fees they pay, there is concern that the current funding allocation system may hinder response to such demand increases. Two features of the current formula funding allocation system could put these objectives in jeopardy: the requirement that upward corridor shifts must be supported by additional grants to the system at average revenue levels, and the corridor levels themselves.

Other public policy objectives that may be hindered by the current funding formula are planned access, balance among functions and policy flexibility. The features of the current formula system which could jeopardize these objectives include the corridor system, the additional funding requirement for enrolment growth and the block grant

nature of the funds provided. Similarly, there is concern that the objective that promotes adequate expenditure accountability for funds provided (accountable use of grants and fees) could be impeded by the corridor and block grants aspect of the existing funding allocation system.

Key Elements of the Current Funding Formula Mechanism

The key elements of the funding formula which may affect its ability to meet the potential objectives outlined are:

- the **block grant** nature of the funding, which allows institutions to spend funds on almost any operating activity;
- the enrolment counting elements through which enrolments are normalized according to their Full-Time Equivalency (**FTE enrolment**) and weighted by program and level of study (**Basic Income Units**) based roughly on relative costs, which were established over 25 years ago;
- the fee regulation and calculation elements (**Formula Fees**), which government uses to **regulate** or control tuition fee rates and ensure that the income collected from these fees is taken into account before calculating the grants to be allocated (**Pooling**);
- the buffering of institutional income from fluctuations in enrolment by measuring activity levels with a **five-year, moving-average** of BIU enrolment and by setting a fixed share of funding through a **±3% enrolment corridor** in which an institution's Basic Operating Income (BOI) or total formula grants plus formula fees remains constant as long as its moving-average BIU enrolment remains within this band; and
- the **corridor change** elements which control the process for increasing institutions' share and level of grants allocated, including the need to **negotiate** with the Government or the Council a change in corridor levels and enrolment targets or that **additional dollars** be provided at average revenue rates for incremental enrolment levels.

Table 7 Deterrents in the Current Funding Allocation System to Achieving the Potential Objectives										
Potential Objectives	Characteristics of the Current Funding Allocation Formula									
	Total Funding Mechanism	Buffering		Corridor Change		BIU Weights	FTE Enrolment	Block Grants	Formula Fees	
		± 3% Corridor	Five-Year Moving-Average	Negotiated	Additional Dollars				Regulated	Pooling
PUBLIC POLICY:										
Accessibility	X	X			X	X?				
Accountable Use of Grants and Fees	X							X		
Adaptation and Rationalization	X?	X?								
Balance Among Functions	X	X						X		
Broadened Student Entry/Re-Entry	X	X			X			X		
Employment Equity										
Planned Enrolment Growth	X	X							X	
Policy Flexibility	X	X			X			X		
Quality										
FUNDING MECHANISMS:										
Accountability										
Equity	X	X								
Funding Predictability										
Funding Stability										
Objectivity										
Private Benefaction										
Simplicity	X	X								X
INSTITUTIONAL CHARACTERISTICS:										
Institutional Differentiation									X	
Inter-Institutional Linkages										
Operational Effectiveness									X	

Note: An "X" denotes a possible deterrent in the current funding allocation system to achieving the potential objectives. Where there was some question about its significance, it is identified as "X?".

Note: An "X" denotes a possible deterrent in the current funding allocation system to achieving the potential objectives. Where there was some question about its significance, it is identified as "X?".

The current funding formula is a potential deterrent to achieving the funding allocation mechanism objective of inter-institutional equity. Funding levels associated with current corridors are based on enrolment levels over a period that stretches back almost 20 years to 1974-75 and the BIU weights are over 25 years old. While an objective of equity may not imply that funding must necessarily reflect exactly today's levels of enrolment, as time passes it becomes less sustainable to base current funding on enrolment levels of almost two decades ago and approximated costs established over 25 years ago.

The conclusion drawn from Table 7 is that the characteristics of the formula system that are potentially the most significant deterrents to achieving the objectives in the table are the requirement for additional funds to be provided to the system to fund upward corridor shifts; the corridors themselves; and the block grant nature of the funds allocated. The Council has developed a set of options for altering the funding allocation system which reflect this assessment.

5.1.3 Possible Options for Change to the Funding Allocation System

Members of the university community were asked this Spring to indicate their preferred funding allocation system. As noted above, most university executive heads and several university organizations argued for the maintenance of the current funding allocation system. However, several institutions identified modifications they would like to see in the funding allocation system. Some suggestions were:

- Establish a Capital Reserve Pool for Information Technology which could be accessed by universities as cash advances to be paid back over a five year period to cover the costs of regular upgrades of information technology.
- Discontinue the current procedure of pooling the income from the higher fees charged to international graduate students, allowing the institution which enrolls the students to retain the differential fees.
- Change the funding allocation to bring about equal levels of BOI/BIU (Basic Operating Income per Basic Income Unit) across all universities either through altering institutional shares of operating grants or through adjustments to corridor levels so that institutional BOI/BIU become equal.
- Move from the corridor system to funding allocations on the basis of a three-year, moving-average of institutional BIUs.
- Fully implement strategic corridor funding and establish a Contract Envelope that would allow Government to set and fund objectives for a specific time-period.
- Decouple the linkage between tuition fee income and operating grants.
- Re-assess program (BIU) weights.

The Council has considered the views expressed by executive heads and university organizations very seriously. However, the Council finds it difficult to see the status quo funding allocation system as a viable solution. Ontario may need to move towards a mechanism which is more sensitive to a changing environment and public policy objectives. The Council does not have a preferred model at this time, but outlines two distinct approaches which could help in meeting these challenges.

The first approach would be to adapt the existing university funding allocation mechanism to the new circumstances. In response to the concerns raised by the university

community, the Council's starting point in developing funding allocation system models was to explore changing the current funding allocation system as little as possible to achieve the objectives identified (referred to as the parsimony approach). This may or may not be adequate in overcoming some of the deterrents to achieving public policy objectives.

The second approach would be to start anew, developing a funding allocation mechanism whose conceptual integrity would draw from public policy objectives and the nature of the funding relationship between government and universities.

At this stage in its deliberations and research, the Council has developed models that are conceptual in nature and not detailed mechanisms. It is not an exhaustive list of options. Through its consultations and hearings this fall, the Council will be developing the shape of these options and solicits suggestions for alternatives. It welcomes reactions, comment, evaluations and suggestions for details in fleshing out each model. The models were developed assuming that there will be flat or declining public sector resources available to universities. The Council offers a perspective on the possible impacts of the models and invites discussion about the models and their potential impacts.

Models

Three basic models of funding allocation systems, which address many of the issues raised in this Discussion Paper, are outlined below. The first two models modify the current funding allocation system. The final model would require development of a new funding allocation system. Models are in order from the one requiring the least change to the one requiring the most change to the current funding allocation system:

- A. Modified corridor system
 - incremental change to the corridor system
- B. Enrolment-sensitive system
 - retain a BIU system but eliminate corridors
- C. Purchase of service system
 - separate funding allocation mechanisms for each mission

Model A. Modified Corridor System

There are three aspects to this model, which can be separate or combined. Option A2 builds on option A1, and option A3 can be applied in conjunction with both options A1 and A2.

- A1 *Remove Additional Dollar Requirement for Upwards Corridor Shifts*
 - Reallocate funds from Formula or Base grants envelope to Transition grants envelope to fund additional corridor increases.
 - Fund growth at average or lower funding rates.
- A2 *Regular Review of Enrolment Targets with Corridor Shifts*
 - Set program enrolment priorities on a regular cycle.
 - Negotiate system corridor levels on a regular cycle.
 - Undertake a continuous system planning cycle.
 - Provide for more flexibility for targeted expansion and contraction in response to program and equity needs.
 - Include specific terms and conditions in the corridor negotiation as a strategy for enhanced effectiveness and accountability.

A3 Address Inter-institutional Equity Issues

- Review inter-institutional equity claims and gradually adjust funding over a five-year period to address identified inequities.
- Undertake a costing and revenue analysis of equity claims concerning differences in Base BOI/Base BIU, research overhead costs, cooperative education costs, appropriate program (BIU) weights, and international graduate student fee pool.

This model attempts to enhance aspects of the corridor funding system that can be used to promote public policy objectives while at the same time retaining many of the positive aspects of the corridor system. This model can remove one of the most

significant concerns about the corridor system by allowing growth without additional funding to the system. By doing so, it would no longer protect institutions' shares of funding if system corridors were negotiated upwards. It would be a more dynamic system that encourages continuous system planning and periodic adjustment of corridors. It would encourage and facilitate a more explicit statement of public expectations of program priorities. With the provision of specific terms and conditions for corridor negotiations, it would have the potential to encourage and facilitate a more explicit statement of public expectations of university behaviour and performance.

Model B. Enrolment-sensitive System

There are two alternative options in this model. The starting point for this model is the elimination of the corridor system, but the retention of a BIU enrolment based-system.

B1 Five-Year Moving Average

- Allocate funds according to a slip-year, five-year moving average of BIU enrolments.

The Impact of Model A

Model A is an incremental approach, which retains the current corridor system and modifies it to address as many potential deterrents to the achievement of objectives as possible while retaining the integrity of the corridor system. It has three parts, which represent increasing change from the current system and, in turn, address more of the deterrents identified in Table 7. The first part removes the requirement for additional dollars being provided for upward corridor shifts. This potentially removes one of the most significant deterrents to accessibility found in the current funding system.

The second part of the model sets a regular cycle of periodic corridor negotiations, introduces greater flexibility for targeted enrolment expansion and contraction, and enhances the accountability of negotiated corridor changes. This potentially removes the deterrents to planned enrolment growth, policy flexibility, and broadened student entry and re-entry points. The final part of the model would address inter-institutional equity concerns.

Model A would not directly address the potential deterrents of accountable use of operating funds, balance among functions, simplicity or adaptability and rationalization. It would be neutral with respect to the level of funding provided to the university system.

B2 Base Plus

- Provide each institution with a **funding base** where a portion of funding is relatively insensitive to enrolment change (either a fixed share or heavily discounted enrolment change).
- Allocate a portion of funds according to a slip-year, five-year moving average of BIU enrolments -- the "Plus".

In addition to the characteristics outlined, it is also possible to address inter-institutional equity issues within either of these models by following the approach in Model A3. It is also possible to develop specific terms and conditions of funding, which must be met for grant eligibility.

By making funding more sensitive to enrolment change, these options would address one of the principal concerns of meeting future enrolment demand. These options are not new, with variants having been utilized in Ontario in the 1970s and early 1980s. They are *laissez-faire* in nature, and could create an incentive to accommodate enrolments in order to maintain institutional shares of funding. They re-introduce the possibility of significant enrolment competition. While they would address some inter-institutional equity issues, they would likely create funding dislocations. They could include reformed BIU weights.

Model C. Purchase of Service System

This is a variant of a contractual funding model. It has two aspects: purchase of service and specific terms and conditions of funding, with the latter being optional.

C1 Purchase of Service

- Government identifies the level of service it wishes to purchase from universities in teaching, research and community service.
- Government allocates funds separately for teaching, research and community service to the target levels, with appropriate allocative and accountability mechanisms for each mission.

C2 Specific Terms and Conditions of Funding

- Additional terms and conditions are negotiated between the Government and universities in the context of government grants.
- The arrangement could be related to deliverables such as:
 - volume of activity (teaching, research and community service)

The Impact of Model B

Model B would retain the enrolment based BIU system, but remove the current corridor system and modify it to address, chiefly, the accessibility-oriented objectives -- increased accessibility, broadened student entry and re-entry points. The options within Model B could also address some inter-institutional equity deterrents, particularly the influence of historical enrolment.

Option B1 would buffer institutional grants from fluctuations in enrolment levels by averaging the enrolment counts for funding purposes over a five-year period. On average, any one year of enrolment would affect only 20 per cent of an institution's annual grant. Option B2 would provide more buffering, allowing only a portion of the grants to be sensitive to enrolment change.

These options would not directly address deterrents to the achievement of policy flexibility, balance among functions, adaptation and rationalization, planned enrolment growth or accountable use of grants and fees, and would be neutral with respect to the level of funding provided to the university system. They might re-introduce a high degree of enrolment competition which could lead to financial instability for some institutions.

- quality (measures of teaching, research quality)
- institutional practices (e.g., accountability for policies such as conflict of interest, equity, human resources policies, management efficiency)
- maintenance and management of capital equipment and facilities

This model would introduce a fundamental change in the government-university funding relationship. It would move from a funding perspective of supporting an institution and all its operating activities (so long as enrolment levels are maintained) to the purchase of discrete services in the areas of teaching, research and community service. It would require that government make a more explicit statement about what its priorities are in funding universities. It would also encourage and facilitate a more explicit delineation of public expectations of university behaviour and performance. By implication, it could lead to a more explicit diversity of missions for the institution, academic unit or individual faculty member. By international standards the model is not radical. But it would involve a significant departure from the funding tradition in Ontario.

Conceptually at least, a purchase of service approach to funding could operate in two distinctly different environments. The first could be a free-market environment in which institutions draw support by attracting clients, be they individual students, governments, or private sector interests, through competitive pricing and quality strategies for their educational and research services. The second approach could be a more regulated market in which government as the principal purchaser of university services would place some constraints on competition to a degree judged appropriate for the university sector.

Possible New Funding Envelopes

In addition to altering the core funding allocation mechanism, some issues or deterrents could be addressed through the creation of new funding envelopes. These envelopes would be funded through the reallocation of existing operating grants. Objectives that could be enhanced in this way include accessibility, accountable use of grants and fees, adaptation and rationalization, planned accessibility, policy flexibility and others. Such envelopes could overcome deficiencies in the core funding allocation mechanism. Two examples of additional funding envelopes which could operate in conjunction with one or more basic options are

The Impact of Model C

Model C would replace the current funding allocation system with an entirely new system. By allocating funds separately for teaching, research and community service, it would have the potential to overcome deterrents to accessibility, adaptation and rationalization, balance among functions, broadened student entry and re-entry points, inter-institutional equity and others. The specific terms and conditions of this funding system could address accountability for grants, fees and inter-institutional linkage concerns.

An issue it would not address is simplicity. This model could have a negative impact on the institutional autonomy Ontario universities have traditionally enjoyed. It could lead to a short-term planning horizon if emphasis were placed on short-term contractual obligations. Depending on the arrangements, it could potentially have a positive or negative impact on teaching, research or institutional differentiation. As a consequence of such arrangements, government might be perceived as being a more active partner in the delivery of service.

It would be neutral with respect to the level of funding provided to the university system.

presented below. These envelopes could be established in conjunction with the options outlined above and would permit more adaptable and flexible responses to changing circumstances.

Envelope 1 University Restructuring Adjustment Envelope

- Fund an envelope to facilitate institutional restructuring and adjustment by subsidizing a portion of the costs of major adjustments including retraining and redeployment.
- Facilitate significant changes in program emphasis, program mergers, inter-institutional linkages and rationalization that could enhance efficiency, effectiveness and responsiveness to societal needs.
- Allocate funds on a non-competitive basis by funding institutions that meet prescribed eligibility criteria.
- Establish effective accountability monitoring including audits.

Such an envelope could help institutions manage change by supporting the adjustments necessary to respond to the changing environment. This envelope would respond to the perceived shortcomings of previous adjustment funds by recognizing that major adjustments could more effectively be dealt with by university governance structures if eligibility for funding support were assured and if the envelope operated on an ongoing basis.

Envelope 2 Targeted Contract Envelope

- Government would identify specific objectives to be funded (e.g. transition year programs, technologically-mediated coursewares) and request that institutions tender bids on a contract to carry out the initiative.
- Each contract would be defined for a specific period of time.
- Funding levels would be defined in the contract.
- Appropriate accountability provisions would be specified in the contract.

This envelope could provide government with the policy flexibility to introduce targeted initiatives for a specified period of time. It would allow for the delineation of expectations by both government and universities at the outset, and for the delineation of accountability measures to ensure success.

Cost-Recovery Programs

In addition to the models and envelopes outlined, it may be possible to address some issues by freeing up public resources through the recovery of costs for particular academic programs. Such an approach could be pursued in conjunction with any of the three funding allocation system models identified above.

For a number of years, universities have provided programs to non-residents on what is nominally a cost-recovery basis in such areas as post-graduate medicine. They have also offered a few programs specially tailored to specific clientele in a manner enabling them to recover all costs from sources other than government grants, e.g., the executive MBA programs offered by a number of universities. The issues that arise are whether or not universities should be encouraged to do more of this and on what basis it should be done; and if public funding is limited, whether or not cost-recovery programs would provide institutions with much needed income to encourage excellence. Possible alternative approaches include:

- a) prohibit through regulation all programs that are funded exclusively from sources other than government grants and fees;

- b) give universities the flexibility to start or convert programs from publicly-supported funding to exclusively privately-supported funding; or
- c) define a cluster of programs for cost-recovery, such as those designed for professionals who have already received the degree of practice and/or have been in the paid work force.

Each of these approaches has strengths and weaknesses. Alternative a) could be impractical, given the existing array of cost-recovery programs. Alternatives b) and c) could have the adverse effect of encouraging privately-financed programs that may *de facto* draw directly or indirectly from public resources and other students' fees. Universities would need to ensure that such programs made appropriate contributions to the overheads and the capital budgets of institutions. Encouraging universities to offer such private cost-recovery programs could also encourage their growth at the expense of publicly-funded programs.

There may be other measures that could be taken to prevent resources being drawn from publicly-financed programs. A first step may be for government policies to be clearer about the objectives for which public-sector funds were intended. Alternatively, the policy could require that programs be either completely publicly-funded or completely funded on a private cost-recovery basis and prohibit mixed programs where the publicly-subsidized student and the totally privately-financed student are found in the same classroom.

5.2 Private Sources of Revenue/Philanthropy

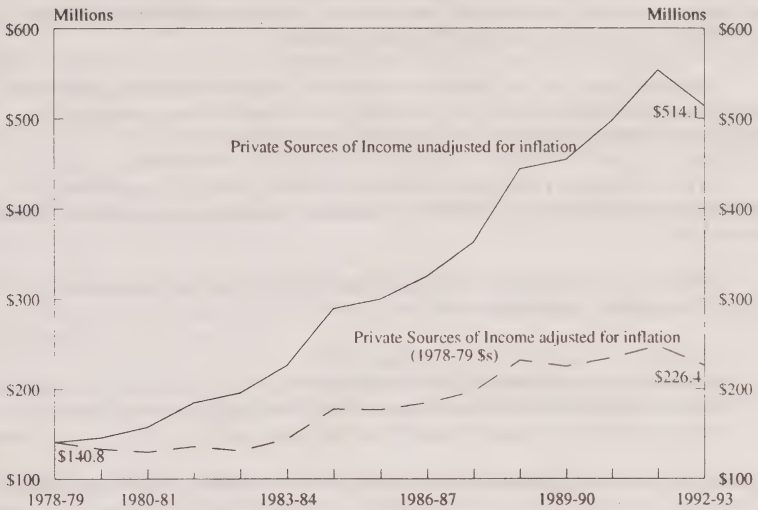
As indicated in Figure 10, in 1992-93, Ontario universities received just over \$500 million in non-government, non-fee income (excluding ancillary activity). About \$131.1 million of this was from donations. Over the last decade or more, Ontario universities have successfully increased their revenue from this source, although the level of donations has declined recently due to the recession. Universities have also steadily increased their trust and endowment funds which, in the system as a whole comprising 22 institutions and their affiliated universities and colleges, are valued at over \$1.0 billion. Income from investments has also steadily increased and as of 1992-93 was in excess of \$147 million (\$135.6 million in expendable funds and \$12.0 million in non-expendable funds).

The size of endowments in Canadian universities is a far cry from some of the major private and public universities and colleges in the United States. Leading them is Harvard University, whose endowment is in excess of \$5.0 billion U.S. and it is currently endeavouring to raise an additional \$2.0 billion. These private institutions draw upon endowments and tuition fee rates that dwarf those in Ontario. As the experience of the U.S. institutions indicates, there is potential for increased revenue from private philanthropy and, as the younger institutions in the Ontario system mature, the performance of the system as a whole in attracting private funds should show improvement. Yet compared to many publicly-funded institutions in the U.S., the record of the Ontario system is relatively good. However, the chance that any of our institutions will find major increases in philanthropy to substitute for what they currently receive from governments and students is limited. What they do raise, will help them greatly to maintain excellence in teaching, research and community service.

For the past quarter-century, Ontario's funding policies have encouraged institutions to increase private revenues by not taking these sources into account in determining institutional operating grants. More recently, the Government has established crown foundations, which make it possible under tax law for donors to receive credit immediately for 100 per cent of their gift. It should be noted that some of the funds raised in this manner can be viewed as foregone revenue for governments. The Ontario Government has also obtained considerable leverage in its capital grants program by requiring universities to raise one-third of the cost of major capital projects from private sources.

Figure 10

**Ontario Universities' Revenue from Private Sources,
1978-79 to 1992-93**



Source: COFO-UO Annual Financial Reports of Ontario Universities.

Note: Excludes ancillary activity; fees and government sourced grants and contracts.

Government regulations in other areas, however, restrict the flexibility of institutions. For example, universities are required to convert the proceeds of the sale of land, which was acquired wholly or partly with government assistance, to capital purposes even though their greatest needs may be to build up endowments or student assistance funds. The issue which may need to be addressed is which policy constraints should be removed or altered to enhance universities' ability to raise additional private income.

6.0 Summary

Universities play a vital role in the life of Ontario. Their capacity to create, disseminate and preserve knowledge has been and will continue to be instrumental to the province's ability to meet the challenges of changing times.

The most significant challenges for universities will be to continue to carry out their missions of teaching, research and community service with an uncompromising insistence on excellence and quality while responding to these pressures.

In this Discussion Paper, the Council has presented alternative approaches to meeting these pressures. The Council invites responses to the questions and options outlined in this document.

The following additional documents related to the Resource Allocation review have been or are planned to be released:

- Resource Allocation Bulletin, February 1994
- Resource Allocation Bulletin, No. 2, May 1994
- OCUA Research Plan for the Resource Allocation Reference, June 1994 (on Ministry of Education and Training Internet Gopher only)

Background and technical papers released to date by the Task Force on Resource Allocation:

- Background Paper, "University Transition Assistance Projects: Implications for University Restructuring?", June 1994
- Background Paper, "University Funding Mechanisms: An International Comparison", July 1994
- Background Paper, "Undergraduate Teaching, Research and Consulting/Community Service: What are the Functional Interactions? A Literature Survey", August 1994
- Technical Paper, "An Analysis of the Costs of Teaching, Research and Community Service: An Estimation Model for the Ontario University System", August 1994
- Background Paper, "The Structure of Academic Work", August 1994

Since the research supporting the review is ongoing, additional background and technical papers are forthcoming.

7.0 Glossary of Terms

BIU - (Basic Income Unit) enrolment weighted roughly according to the relative costs of programs in the late 1960s.

BOI - (Base Operating Income) formula grants plus formula fees associated with the enrolments eligible for counting.

Block grant - funds which are generated through a block grant can be spent by a university on any eligible expenditures, independent of the basis on which the funds were generated.

Discounted enrolment - university enrolment which has generated less than full average revenue to institutions.

FTE - (Full-Time Equivalent) - a measure of activity for the counting of enrolment based on a courseload. For example, an undergraduate student taking five full-year courses in a five course program = one FTE.

Formula fees (Standard fees) - government controlled tuition fee rates. Universities are allowed to charge tuition fees up to 113 per cent of the formula fee rate without loss of grants.

Formula funding - includes two block grant enrolment-based envelopes through which universities are funded: the Formula or Basic Grants and Transition to New Corridors Grants envelopes.

Free-standing institutions - includes institutions established by a Royal Charter, Federal Charter or an Act of the Ontario Legislature which grant their own degrees and are not affiliated or federated with an existing Ontario university.

Headcounts of university enrolment - are all students registered and active in courses that are eligible for academic credit in a degree program.

Inter-institutional equity - refers to the funding of similar activities in a similar manner and different activities according to relative differences in costs. The range of funding currently deemed equitable by the Council and Government, namely an institution's funding per base count of eligible students (Base BOI/BIU), should not be more than seven per cent less than the system average.

Moving-average - the calculation applied to generate a figure for average enrolment over a period of time. The five-year moving-average of 1994-95 funding year is the average enrolment in the period 1989-90 to 1993-94. In the following year, the average will "move" by dropping 1989-90 and adding 1994-95.

Ontario university system - refers to the group of publicly-funded university-level institutions in Ontario. See Footnote 1.

Peer-adjudicated research grants - those research grants allocated on the basis of an evaluation of the merits of a research proposal by academic peers.

Research overhead/infrastructure costs - indirect costs of conducting eligible sponsored research including physical plant costs, administrative costs, etc.

Slip-year - the year prior to the current fiscal year.

Technologically-mediated instruction (TMI) - a form of teaching and learning using various technologies as delivery agents. Many approaches are computerized, but the term TMI is sometimes expanded to include print-based correspondence courses.

**BACKGROUND/TECHNICAL/CONTRIBUTED PAPERS FROM
THE TASK FORCE ON RESOURCE ALLOCATION**

University Funding Mechanisms: An International Comparison

July 1994

1.0 Introduction

This paper is one of a number of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system for universities in Ontario. Its purpose is to provide additional information on the nature of university-level funding mechanisms in other jurisdictions.

2.0 Defining Characteristics of Funding Mechanisms

University funding mechanisms are the instruments through which public funds are allocated in support of university activity and their characteristics encompass, implicitly or explicitly, the policy basis on which such funds flow. In examining the nature of university funding mechanisms elsewhere, it is useful to do so within the context of a consistent conceptual framework. This review chooses a framework with six dimensions. These include:

- the nature of university-government relations
- the range of funding sources available to universities
- the determination of global funding
- the determination of institutional funding levels
- the manner in which funds are flowed
- degrees of accountability.

2.1 Nature of University/Government Relations

The overall context within which universities and governments interact constitutes an important element in understanding the nature of the funding mechanisms through which universities draw their recurrent operating and capital support. There are two important dimensions to this relationship:

1. the statutory nature of universities themselves and the nature of the administrative relationship between universities and government which flows therefrom; and
2. the means (which may or may not be rooted in statute) various jurisdictions have adopted to imagine the future of their universities and the instruments they choose to stimulate institutional compliance with that vision.

Dependent largely on the particular historical roots of universities in various jurisdictions, we find a range of statutory relationships between universities and governments. This range includes:

1. private institutions (many of which receive some public funding);
2. legally independent institutions, enjoying varying degrees of autonomy from government, which draw so large a proportion of their financial support from public sources that the distinction between whether they are private or public becomes masked;
3. public or quasi-public institutions which are part of a state system that enjoys some measure of autonomy from government; and
4. universities, either independent or grouped into state systems, which are, in effect, agencies of government.

The latter model is most prevalent in Europe but also characterizes the national universities in Japan. While many jurisdictions in Europe are moving away from this model, an important exception is Denmark where central planning and consequently central control have been increasing. There, a general plan was formulated *to orientate the higher education system more explicitly to the needs of the labour market and to improve productivity and efficiency. The plan provided for some measure of external control over the size and distribution of the annual intake of students, the methods of resource allocations within institutions, and the pattern and structure*

of courses.¹ Autonomous public state systems are most common in the U.S. although, even within this model, a wide range of degrees of state control exists from "state-related" to "state controlled". The predominance of the autonomous independent publicly-supported are most prevalent in the U.S.(where they serve 25% of enrolled students) and Japan.(where they serve 75% of enrolled students). Private institutions are also a significant factor in a number of developing countries (e.g. the Phillippines and Brazil) where they have been used to address substantial increases in the demand for university access.²

With respect to the means various jurisdictions have adopted to imagine the future of their universities and the instruments they choose to seek institutional compliance with this vision, options vary within a range that can be defined as little or no central planning to highly articulated planning processes and plans. Ontario sits at one extreme within this general framework - its universities enjoying a high degree of administrative autonomy within the context of a largely unplanned "system" of higher education.

While there is a general trend, particularly in Europe, towards diminished administrative control of universities that were once mere extensions of government bureaucracy, there is also a trend towards a more explicit articulation by governments everywhere of expectations of university and university system behaviour and performance. Within this overall context, there is also increasing use of intermediary bodies as the means of translating government policy into operational plans.³ Berdahl, the acknowledged authority in this field, notes that all but three U.S. states have some form of intermediary body which sits between governments and individual institutions of higher education. The first type of statewide board of higher education to have appeared in the U.S. was characterized as a consolidated governing board; by 1980 this pattern was used by some 20 states. Advisory boards (like OCUA) constitute a second category; only about 8 or 9 of these remain. Co-ordinating boards make up final category, with some 18 or 19 states using this pattern. Co-ordinating boards do not replace institutional boards but unlike advisory boards have been given final binding powers over institutions in certain areas of operation.⁴

By way of example, it is instructive to compare the Ontario situation (with its advisory board) to that which presently prevails in the England (with its co-ordinating board model). There, while institutions enjoy the same kind of administrative autonomy as do their counterparts in Ontario, the planning roles of government and its intermediary body, the Higher Education Funding Council for England, have been considerably enhanced in recent years. In 1992, for example, the U.K. government provided HEFCE with a "letter of guidance" setting out its operating objectives for the short term. These guidelines included:

- the development of sector-wide funding methods for allocating resources for teaching and research
- the clear specification of what institutions were expected to provide in return for public funds for teaching

1. Organisation for Economic Co-operation and Development, Financing Higher Education: Current Patterns, Washington, 1990, p. 25.

2. For a discussion of the role of the private sector in higher education, see Roger L. Geiger, Private Sectors in Higher Education - Structure, Function and Change in Eight Countries, Ann Arbor, Michigan, 1986.

3. Guy Neave and Frans A. van Vught, Editors, Prometheus Bound: The Changing Relationship between Government and Higher Education in Western Europe, Exeter, 1991, p. xii.

4. Robert O. Berdahl and John D. Millet, "Autonomy and Accountability in US Higher Education," in Neave and van Vught, op. cit. p. 223.

- the requirement of increased accountability from institutions about their use of Council-allocated funding for research
- the securing of greater efficiency as student numbers increase
- the maintenance and enhancement of quality by relating funding to Council's assessments of teaching quality
- the maintenance of the diversity of missions which currently exists among institutions
- the maintenance of institutional autonomy.⁵

Within this general context, the Higher Education Funding Council has set the following objectives for itself:

- to encourage institutions to exercise their autonomy to the maximum degree consistent with full accountability for their use of funds
- to support a further strengthening by institutions of their managerial capabilities
- to contract with institutions for the provision of full and part-time courses
- to encourage the maintenance and enhancement of costs-effective teaching, scholarship and research of high quality
- to encourage arrangements whereby institutions can ensure the quality of their academic activities
- to support increased participation by students of all types especially by members of groups which are currently under-represented in higher education
- to promote the provision of continuing education and opportunities for part time study
- to seek the provision of a growing range of choices within the higher education sector for students, for organizations and for others seeking its services
- to assist the development of mutually beneficial links between all levels of education, and
- to promote an expanding role for institutions in regional and local life.⁶

The specific nature of the relationship between the funding council and the institutions in England is governed by financial agreements with each institution. These agreements incorporate a wide range of requirements from the need to account for funds allocated for the support of teaching and research to the rules for dealing with capital transactions. They also detail the responsibilities of an individual institution with regard to its allocation of funding for teaching and research.⁷

While the responsibilities of the Higher Education Funding Council for England (and its predecessors, the University Grants Committee and the University Funding Council) are different from those of the Ontario Council on University Affairs, the degree to which, during the last decade, the Government in the U.K., through its intermediary bodies, has been prepared to articulate its expectations of university behaviour and performance sets it clearly apart both from its own past and from its counterpart in this province.

In the broader context of university-government relations, there is a growing distinction being drawn between administrative autonomy and policy autonomy. The issues here are whether the administrative autonomy of universities legitimately or appropriately provides them with independence from government policy objectives and, if not, where the line is to be drawn between administrative and policy matters. Those who argue for more university autonomy believe it

5. Higher Education Funding Council for England, *An Overview of Recent Development in Higher Education in the UK*, January 1994, p. 5.

6. *Ibid.*, pp. 6-7.

7. *Ibid.*, p. 7.

encourages financial responsibility by resource users and greater responsiveness to changing societal need. Proponents of this position believe that individual institutions are in a better position to decide among competing priorities. Those who argue for constraints on autonomy believe, conversely, that individual institutions, because of their collegial nature, are unable to make difficult financial decisions and hence remain unresponsive to changing societal need. Some critics of greater devolution argue as well that it permits governments to operate with a studied objectivity born of political convenience. Financial constraint can be exercised with little sense of responsibility for impact on outcomes. Certainly, it is generally acknowledged that the wider the gap between the state and its universities, the wider the gap between state objectives and institutional responsiveness. It is arguable whether this is a good or a bad thing.

The preservation of institutional autonomy has often been linked to the protection of academic freedom. The right of university faculty to teach, conduct research and perform community service, free from political or religious interference, is now generally accepted throughout the western world. The manner in which these rights are guaranteed varies, however. While institutional autonomy underpins academic freedom in most North American universities, in several European countries academic freedom has been *...guaranteed by constitutional or statutory provisions, which make it difficult for any particular government to abuse its powers and responsibilities...*⁸

2.2 Range of Funding Sources

Another defining dimension of university funding mechanisms is the range of sources from which universities draw their recurrent operating and capital support. Simply put, the range of existing practice extends from single source to multiple sources, the latter including grants from all levels of government, fees, trust and endowment, etc. Major policy variants include the nature and extent of student contributions (from none to significant), and the nature, source and extent of research funding, of which more will be said later.

While Ontario universities have long enjoyed a multiplicity of funding sources, many other jurisdictions, particularly in Europe have not. This is changing, however, and there is a growing tendency towards a multiplicity of sources to reflect the range of beneficiaries of higher education. *One of the main advantages of plural funding is that it recognises the multiple functions and activities of a higher education system. No single set of priorities is dominant and no single criterion determines the level of resources available.*⁹

The move towards a multiplicity of funding sources is part of what is characterized by some as a move towards a market model of higher education funding, of which one element is enhanced fee revenue from domestic students, particularly in programs where demand is great, and from foreign students. There is also perceived to be an expansion of the range of government sources, both in terms of levels of government (where this is relevant) and in terms of government agencies who have an interest in specific institutional outcomes. Finally, there is also perceived to be a growing reliance on financing from the private sector.

The broadening of the financial base for universities is not without its critics, however, who express concern about the impact which marginal funding sources can have on the university's mission particularly with respect to drain they can impose on institutional overheads. This argues for some harmonization of the way in which universities measure and assess their overhead costs.

2.3 Determination of Global Funding

Most governments follow an incremental model in the determination of funding levels for higher education. Within this general context, where a prior year's funding serves as a base for

8. OECD, *op.cit.*, p. 14. A discussion of the appropriate boundaries of academic freedom is, at the same time, both controversial and beyond the bounds of this paper.

9. *Ibid.*, p. 70.

a subsequent year's funding, some governments approach the determination of funding levels in a highly judgmental way, some in a highly analytic way. Typically, analytic methods affect base expenditures by making provision for enrolment growth, for inflation, and for new initiatives. OCUA used an analytic incremental approach to the determination of global funding levels in the mid 1970s. By their very nature, incremental approaches focus on year over year funding requirements and fail to cast light on the inherent rationale of existing funding levels or the relative success of past funding strategies on institutional outcomes. Ontario presently employs an incremental/judgmental approach to determining its global envelope for university funding. No explicit rationale is provided for the size of the envelope and the factors which contribute to its change from year to year are opaque.

By contrast, some jurisdictions, particularly in the U.S., have tried (and continue to use) a formula model for the determination of global funding requirements. Formula budgeting models attempt to base future funding requirements on an examination of the underlying costs of program delivery and how those costs will vary over time given certain circumstances.¹⁰ This sort of model (or indeed the analytic incremental model) tends to work best when funding is increasing. It can be fundamentally undermined when insufficient funding is available and a government is unwilling or unable to specify how model inputs might be adjusted. This was particularly symptomatic of the Ontario experience with the OCUA model, which had limited impact in influencing the Government's global allocation for universities.

Caruthers, Marks and Walker identify four commonly-used strategies drawn from their U.S. experience for dealing with revenue shortfalls. These include reducing enrolment/service levels, freezing base budgets, recalibrating formulas, and increasing non-public revenue (including tuition fees).¹¹ The OECD study elaborates on some of these strategies and introduces others. *Some have attempted to maintain high levels of expenditure per student but have restricted entry, allowing only a proportion of qualified secondary school-leavers to continue their studies. Several have established two or more tiers of higher education and made it easier for students to enter the less expensive sectors. Some have established numerus clausus in the more expensive subjects where there is a fairly clear economic demand for graduates but allowed unrestricted entry to the less expensive programs.*¹²

2.4 Determination of Institutional Funding Levels

There are four general models used for the determination of institutional funding levels: the incremental model, the formula model, the market-based or contractual model, and the bureaucratic model. While each of these is summarized below, formula and contractual funding models are developed further in subsequent sections of this paper.

Annual increments on an historical base

Such models can be either judgmental or analytic e.g. driven by enrolment variation, provision for inflation, etc. The approach attaches no particular importance to funding equity, however, and can permit differences in institutional funding levels for vagarious and/or partisan reasons. A good example is Quebec's long use of what it termed the "méthode historique," which favoured francophone institutions over anglophone within a policy context known as "rattrapage", which was intended to allow the former to catch up, in a developmental sense, to the latter.

10. A distinction is drawn between formula budgeting models which are used to determine the global envelope for university operating grants in a given jurisdiction and formula funding models which use formulaic principles to allocate a global envelope to individual institutions.

11. J. Kent Caruthers, Joseph L. Marks, and J. Kenneth Walker, Important Safeguards in Funding Processes for Public Higher Education, November 1993.

12. Ibid., p. 13.

Incremental funding generally assumes the continuation of existing activity and in this respect it provides little policy context for strategic planning. It is quite compatible, however, with an approach which favours fine-tuning. An often practised variant, for example, is to impose cuts equally on all activities but to reinstate all or part of the withdrawn resources by allowing institutions to bid for funds for specific initiatives. Another variant, which has emerged recently in Colorado, sees incremental funds being allocated, not on the basis of enrolment and inflation, but on specific outcomes which have been established by the legislature. In Colorado, these outcomes include 1) enhanced articulation between secondary and post-secondary education, 2) enhanced productivity, particularly with respect to undergraduate education, 3) academic programming which focuses on enhancing the technical management skills of the Colorado workforce, 4) and increased access for Colorado residents, in particular for those within the state who are economically disadvantaged and under-represented.

Student-number or outcomes-based formulas

Formula funding has now largely replaced incremental funding as the main basis of institutional financial support in the majority of OECD countries.¹³ Formula funding attempts to distribute public funds among institutions using objective criteria which have some empirical or other rational basis. Typically these are drawn from operational cost data (averaged across a given system but increasingly drawn from peer institutions, often in other jurisdictions) but they may be constructed hypothetically, i.e. on the basis of some consensus around how the academic world should be rather than a reflection of how it has been and remains. The principal intent is that similar institutions engaged in similar activity or achieving similar outcomes should enjoy equal access to public funding. Funding formulas exist in a wide range of flavours but most are input based, i.e. based on student enrolment. Within this context, however, there exist many variants which set out how students are counted, the weighting applied to them by discipline and level of study, and the range of expenditure covered. For reasons which will be discussed later, there is a trend for formulas to become increasingly complex.

Ontario employs a formula funding approach in its determination of levels of institutional support. The Ontario formula is based on an historical measure of full-time equivalent enrolment weighted by discipline and level of study.

Outcomes-based formulas, while rare are increasing in number. Although they tend to be limited in application to some component of university expenditure or to some small fraction of institutional revenue, there are some examples of jurisdictions in which outcomes have become the principal determinant of university funding. One particular policy initiative identified in the OECD study finds formulas in the Netherlands, Norway and in Denmark being used to encourage expeditious graduation of students.

The most interesting feature of the new arrangement [in Denmark] is that it will make a serious attempt to combat the problem of excessive lengths of study, while at the same time allowing students considerable flexibility in the way they undertake their studies. The key to the system is the idea of a "clip card". Each eligible student will be able to obtain a card divided into 48 monthly clips and for each month of study undertaken one clip will be used up. If a student wishes to take a break before continuing, he or she will be able to retain any unused portion of the card for later use. Beyond the basic four years, students will be able to apply for an advanced card, but the clipping on this is designed in such a way as to provide an incentive to students to complete their studies quickly.¹⁴

13. OECD, *op. cit.*, p. 60.

14. *Ibid.*, p. 25.

In the Netherlands, funding is based on the notional enrolment derived from assumptions about "appropriate" relationships between intake, drop-outs and graduation rates.

Contractual funding models

The emergence of contractual funding models is a relatively new development in the evolution of university funding mechanisms. Conceptually at least, one can imagine two different market environments within which contractual funding mechanisms might flourish. The first is a totally free market in which institutions draw support by attracting clients, be they individual students, governments, or private sector interests through competitive pricing strategies which complement the quality of their educational and research "deliverables". Alternately one might imagine a more regulated market in which governments, as the principal purchasers of university services, place some constraints on the degree of competition to a degree which is judged to be "appropriate" for the university sector.

Both England and Australia are moving in the direction of establishing university funding mechanism which are, in part, based on contractual principles. In England, this has involved an attempt to have institutions bid competitively for new enrolment. In Australia, negotiated education profiles have been introduced to allow each institution to develop and be funded in the way which best fits its particular mission and objectives. Competitive or negotiated contracting, on a more limited scale, is emerging in other jurisdictions as a means of encouraging institutional adaptation to emerging social needs. Contractual funding will be discussed in more detail later in this paper.

Bureaucratically-based funding models

This model, which attempts to maximize state control of university activity, has been typical of many European jurisdictions and is characteristic of the national universities in Japan. In some U.S. states as well, legislatures exercise significant control at the line-item level. Under this model, universities, as agencies of the state, are either incorporated into ministry budgets or have budget submissions to the state approved on a line by line basis. Norway and Spain have recently moved away from this model. It continues however, in Germany, Finland, Greece and Portugal. In many of these systems, institutions do not in fact have salary budgets but are allocated positions which they may fill.¹⁵

2.5 Manner in Which Funds are Flowed

The extremes with respect to the manner in which funds are flowed are represented, on the one hand, by line-by-line budgets whose expenditure must be authorized in advance, to block grants for which no authorization to spend is required. Ontario employs a block grant approach to university funding. Variants include multiple envelopes by function (teaching, library, etc.) or by type of expenditure (operating, research, capital) or both. Other variants include arrangements for staffing (all staff as civil servants, senior staff as civil servants, fixed but independent establishment, fixed envelopes for salaries). There may also be special arrangements for equipment purchases. Additional administrative conditions may include constraints on the use of unexpended year-end balances and on institutional freedom to run deficits.

2.6 Degrees of Accountability

The last defining characteristic of university funding mechanisms is the degree of accountability expected of the institution to which the funds are provided. Accountability expectations range from the tracking of funds as allocated and authorized by central agency to little

15. This tradition lingers on in some jurisdictions which, in other respects, would appear to have moved away from the bureaucratic model. Even where jurisdictions have afforded their institutions autonomy over salary dollars, it is not unusual to find salary rates still under government control.

or no accountability for the funds transferred. Ontario, which depends largely on a voluntary form of accountability, stands more towards the minimalist end of this accountability spectrum.

Formalized accountability arrangements are increasingly becoming a feature of university funding systems. There is a shift occurring, however, from strict financial accountability to a form of accountability focused on performance and outcomes measures. Caruthers *et al* report that 10 of 20 state legislatures in the U.S. south have passed legislation requiring accountability reporting.¹⁶ *An emphasis on teaching and learning is prominent in these accountability programs as represented by performance indicators such as satisfaction surveys of alumni and employers, time to degree, maximum funding credits, and faculty workload and distribution of effort measures.*¹⁷

3.0 Formula Budgeting and Funding

Formula budgeting and funding were developed in the United States (concurrently in California, Indiana, Oklahoma, and Texas) after World War II in response to the need to more accurately determine an adequate level of funding for post-secondary institutions. Formula models flowered in the 1960s in response to the enormous enrolment growth universities were then experiencing.¹⁸ In Canada, they were given national profile by the work of the Bladen Commission. The Ontario Operating Grants Formula, originally both a budgeting and funding model, was implemented in 1967, the first to be introduced in Canada.

Formula financing has been variously defined. The first, oft-cited, definition was offered by J.L. Miller in his important work in the early 1960s, just as the explosion of funding formulas was about to begin. He characterized it as

*...an objective procedure for estimating the future budgetary requirements of a college or university through the manipulation of objective data about future programs, and relationships between programs and costs, in such a way as to derive an estimate of future costs.*¹⁹

A somewhat contrasting view was offered by Kent Caruthers in the late 1970s reflecting perhaps the evidence of the intervening years that formulas, however objective their intent, were the outcome of political processes and were often shaped to reflect existing realities.

*... a subjective judgment expressed in mathematical terms...(which tends) to be regarded as an objective evaluation...when applied over a long period of time in a relatively mechanical way.*²⁰

As formula financing evolved, formulas came to be and continue to be used:

16. Caruthers *et al*, *op. cit.*, p. 9.

17. *Ibid.*, p. 10.

18. Between 1963 and 1973, the number of American states using formula financing grew from 6 to 25.

19. J. L. Miller, *State Budgeting for Higher Education: The Use of Formulas and Cost Analysis*, Ann Arbor, Michigan, 1964, p. 3.

20. Cited in J. Kent Caruthers, "The Impact of Formula Budgeting on State Colleges and Universities," published in American Association of State Colleges and Universities, *A Study of the Funding Process for State Colleges and Universities*, 1993, p. 4.

- 1. to project institutional or systemic budgetary needs;
- 2. to justify budgetary requests, in particular to state legislatures;
- 3. to clarify the presentation of budgetary information, to members of state legislatures and to the public;
- 4. to allocate resources among or within institutions; and
- 5. to standardize budgetary data for comparative analysis.²¹

The particular goals which have motivated formula development and evolution have changed over time. Caruthers, Marks and Walker identify five stages in the evolution of formula financing in the U.S., with each objective being added to rather than replacing previous objective.²²

1950s	Adequacy
1960s	Growth
1970s	Equity
1980s	Stability/Quality
1990s	Stability/Accountability/Reform

Proponents of the use of financing formulas see many benefits in their use. Among the principal benefits attributed to well-functioning formula models are:

- the provision of equity through the use of objective criteria
- the depoliticization of funding decisions
- the minimization of conflict between institutions and the state and among institutions themselves
- the focus afforded to the underlying rationale of funding levels (in contrast to the focus afforded to the annual funding increase implicit in incremental budgeting)
- the provision of an open fiscal environment; formulas can help to underpin public understanding and support of higher education
- the reduction of uncertainty, particularly at the institutional level
- the facilitation of budget preparation.

Layzell and McKeown periodically survey all U.S. jurisdictions for their use of formulas in higher education financing. Their most recent survey, published in 1992, reported 33 states using formulas, down from 36 in 1984.²³ More recently, the Southern Regional Education Board (SREB) survey of its 20 member states in 1993 found formulas in use in 15.²⁴ As was noted earlier in this report, formulas can be and are used either to generate global funding envelopes or for the distribution of global envelopes among a given jurisdiction's colleges and universities. Of the 15 states identified in the SREB study as using formulas, 12 use formulas at both the global and institutional level. The Ontario Operating Grants Formula, which was once used both to generate and allocate university operating grant levels, is now restricted in its application to the distribution of grants within a fixed global envelope.

21. D. Kent Halstead, Statewide Planning in Higher Education, Washington, 1974, p. 662.

22. Caruthers et al, op. cit., p. 3.

23. Daniel Layzell and Mary McKeown, State Funding Formulas for Higher Education: Trends and Issues, Paper presented at a meeting of the Association for the Study of Higher Education, October 1992, p. 9.

24. J. Kent Caruthers, Joseph L. Marks, Funding Methods for Public Higher Education in the SREB States, Atlanta, 1994.

Most university financing formulas are based principally on student numbers. These can be defined to reflect intensity of study (Ontario's Fiscal Full Time Equivalent, and the U.S. Student Credit Hour are such devices); and numbers are often weighted to recognize differences in cost attributable to field and level of study. The values assigned to formula units can be based on the results of studies of actual costs or they can be constructed within the context of a hypothetical model of what university level studies ought to cost. *The development of such task-based formulae is likely to be a feature of higher education funding in several... countries during the 1990s.*²⁵

Three methods are generally used to compute formula entitlements:

1. dollars per unit: whatever the unit might be, e.g. SCH times rate;
2. relative cost relationships, e.g. academic support as a percentage of teaching entitlement; and,
3. as a variant of 1), staffing entitlement per unit times average salary rate, e.g. student/faculty ratio times average faculty salary.²⁶

Most American states employ a multiplicity of formulas across most if not all functional areas. Multiple formulas are seen as having the potential to provide greater sensitivity to the costs implicit in institutional differentiation and as being more amenable to specific policy initiatives. This approach is not typical of formulas used in other jurisdictions (including Ontario), however, where functional costs tend to be aggregated to the institutional level. Descriptions of the functional approaches commonly used in the United States are provided below.

Credit Instruction

Formulas which separately address the costs of credit instruction are typically concerned with what might be termed departmental costs. These are usually addressed in one of two ways - costs per student credit hour or FTE faculty positions per FTE student times a value for average faculty salaries. The latter method might also encompass a fixed amount per faculty member or a percentage of salary dollars for auxiliary teaching, non-teaching and non-salary expenditures. Separate values are usually employed to reflect differences in costs by discipline and level of study. Increasingly, instructional formulas contain a mission component. This is typically a variable salary rate by type of institution.

Academic Support

Within the academic support category, libraries often enjoy a separate formula provision. This is typically constructed as a variable rate per student or as a percentage of academic salaries. Occasionally, funding minima are established based on program breadth. Academic administration is usually related to instructional salaries or to institutional entitlement for instruction, research and public service.

Student Services

Students services are usually addressed by a rate per headcount (or headcount plus FTE). Economies of scales are occasionally acknowledged by using a variable rate by institutional size.

25. OECD, *op. cit.*, p. 60.

26. Halstead calls these approaches workload, base and staffing, p. 666-667. Layzell and McKeown refer to them as rate per base factor unit, percentage of base factor, and base factor/position ratio with salary rates, p. 12.

Institutional Support

Institutional support encompasses all central administrative services and is typically expressed as a percentage of other expenditure categories. It is occasionally calculated on a per student or per FTE basis. Infrequently, it acknowledges a base rate per institution.

Plant Operation and Maintenance

Plant operation and maintenance expenditures may be determined by a number of formulas addressing the various components of plant costs. The formulas are usually expressed as rates per gross square foot. Some jurisdictions include a provision for facilities renewal based on a percentage of building replacement value or some quantification of building life cycle costs.

Departmental Research

Departmental research formulas are intended to cover the costs of non-sponsored research. These are often embedded in graduate weights in instructional costs. Where they are separately identified, they are often expressed as a percentage of teaching salaries or instructional costs. These can be combined with a percentage of sponsored research costs. Departmental research formulas are occasionally based on a fixed amount per FTE faculty member.

General Public Service

Separate recognition of general public service costs, while unusual is not uncommon. It is typically expressed as a percentage of faculty salaries or instructional costs.

Proponents and critics alike of formula financing have identified a number of dangers inherent in their use which should be taken into account in their design and on-going use. Brinkman has noted that *the good or bad qualities of formulas may be intrinsic (that is, present irrespective of circumstances) or extrinsic (that is, application specific: sometimes present, sometimes not).*²⁷ This may be too stark a contrast, and no such distinction is drawn here. Thus, at various times and in various ways, it is thought that formulas:

- minimize the importance of judgment in determining institutional funding levels
- resting as they must on principles of quantification, they tend to focus on the easily quantifiable
- attach too little importance to issues of institutional quality
- constrain a state's ability to shape higher education through specific policy initiatives
- have the potential to become entrenched, remaining essentially unchanged or unexamined for too long
- have slow response time to changing circumstances
- within this context and probably because of it, are seen to bring about a levelling or homogenization of higher education
- re-inforce conservative tendencies that surface during periods of retrenchment
- are subject to manipulation by institutions that wish to take advantage of the weights of the various coefficients in the formulae
- are all too likely to replicate past costs and behaviour; that they project rather than predict university costs
- as a corollary to this, they are seen to restrict innovation, particularly with respect to non-traditional students
- ignore economies of scale, fixed vs. variable costs
- are too enrolment sensitive; based on inputs, as they so often are, they tend to favour growth
- ignore differences in institutional capacity to generate their own revenue.

27. Paul T. Brinkman, "Formula Budgeting: The Fourth Decade", New Directions for Institutional Research, Number 43, 1984, p. 26.

The 1980s saw much effort directed at addressing some of the inherent weaknesses of formula funding. One of the first issues to be addressed in a number of jurisdictions was enrolment sensitivity. Some states have pursued a decoupling strategy, some a buffering strategy. Jones cites as an example of decoupling library funding determined by the number of programs supported rather than number of students served.²⁸ As an example of buffering, Ahumada cites Ohio which adopted a strategy to ensure that institutions received between 96 and 99% of previous year's budget, irrespective of enrolment shifts.²⁹ Ontario observers will recall a number of local strategies aimed at enrolment buffering.

Institutional differentiation within a formula context is another issue that has attracted broad attention from those responsible for higher education funding. Typically, this has led formula models to become more complex. Among the institutional characteristics cited which cause need for recognition of differentiation are: differences in the balance between teaching and research, the proportion of part-time students enrolled, geographic uniqueness, and special mission and/or facilities. Within Ontario, one must also include institutional linguistic characteristics.

The emerging analytic framework required to address these issues and recurrent reference to it have caused data needs grow. There has been increasing pressure for better cost data. Not surprisingly, there has been an expansion in the U.S. of formula categories. And the principles and practices of peer comparison have been developed.³⁰ Some argument can be made that differentiation is more relevant at the departmental than at the institutional level. To the extent that differentiation is forced into greater levels of disaggregation, technical problems are compounded.

Another trend in formula development (in addition to enhanced formula complexity) most evident in the 1980s is the development of special extra-formula responses (mini-formulas, special envelopes, etc.). One particular motivation behind this move is the broadly perceived need to enhance teaching and learning.³¹ Some special envelopes have introduced quality or outcomes measures to encourage desirable institutional behaviour. Layzell and McKeown report about 10 states using outcomes measures in formulas.³² There are significant challenges, the articulation of which are beyond the scope of this paper, in the development of meaningful outcomes measures. Among these challenges are the arguments being advanced for a plurality of standards of excellence to reflect a plurality of institutional missions. *Institutions should be valued for the*

28. Dennis P. Jones, Higher Education Budgeting at the State Level: Concepts and Principles, NCHEMS, Boulder, Colorado, 1984, p. 76.

29. Martin M. Ahumada, "An Analysis of State Formula Budgeting in Higher Education" (1990). In ASHE Reader on Finance in Higher Education, edited by David W. Breneman, Larry L. Leslie and Richard E. Anderson, Needham Heights, Mass, 1993, p. 335.

30. Layzell and McKeown report that the number of states using peer data increased from 3 in 1984 to 28 in 1992.

31. Caruthers et al cite three formula-based options for renewing the focus on teaching and learning: 1) convert formulas to being output rather than input driven; 2) combine process and outcome variables in a formula; and 3) adjust cost factors to redirect funds from upper levels to lower levels.

32. Layzell and McKeown, op. cit., p. 10.

*particular role they play in an educational system, not for their position on some rigid, idealized standard of excellence.*³³

4.0 Special Purpose Funding

As has been noted above, one of the perceived shortcomings of formula funding mechanisms, at least as they are presently configured, is their limited application in effecting specific state policy objectives. To the extent that funding formulas are thought to be unresponsive to the policy needs of particular jurisdictions, the widespread development of selective funding initiatives in the 1980s was not, therefore, an unsurprising development. In the United States, the focus of much governmental concern during this period was educational quality and its relationship to a jurisdiction's competitiveness in what was generally perceived as an increasingly challenging global economic environment. In a 1989-90 survey, the National Center for Postsecondary Governance and Finance found *a high level of agreement... among state and campus leaders regarding the inability of traditional budgeting approaches to address quality improvement.*³⁴ Holland notes in her survey that *... of the 48 states responding, 32 have reported having established 122 enhancement/incentive programs.*³⁵ She classified these initiatives into the following categories and tabulated program incidence:

• Economic growth, technology transfer and applied research	23
• Minority issues	20
• Eminent scholars	17
• Undergraduate education	15
• Equipment, labs, computers	12
• Basic research, high technology	11
• Centres of excellence	9
• General enhancement	8
• Inter-institutional co-operation	4
• Faculty and curriculum development	3
• Other	17

Many of the initiatives cited here were intended to "build on quality." In contrast to a prevailing theme of U.S. higher education, which seeks to afford the broadest level of support to all institutions within a system, incentive funding was to be selective in design and application. In the views of one commentator, *it seems to contradict the main currents of American political and cultural values.*³⁶ Critical to the way in which such initiatives were perceived, therefore, was whether the particular program in question sought to distribute new funds or to re-allocate existing funds. Competitive programs, in particular, were seen to create winners and losers and hence *there is a natural tendency... to gravitate toward the distributive arena by expanding programs or in*

33. David H. Finifter, Roger G. Baldwin, and John R. Thelin, Editors, The Uneasy Public Policy Triangle in Higher Education: Quality, Diversity and Budgetary Efficiency, Toronto, 1991, p. 34. For further elaboration of these arguments, see in particular the essays by Gordon Davies and Amy Gutman.

34. Barbara Holland, Green Carrots: A Survey of State Use of Fiscal Incentives, National Center for Postsecondary Governance and Finance, University of Maryland, 1990, p. 17.

35. Ibid., p. 5.

36. Anthony W. Morgan, "The Politics and Policies of Selective Funding: The Case of State-Level Quality Incentives", The Review of Higher Education, Volume 15, Number 3 (1992), p. 290.

*some cases creating categories of competition so that research universities... do not dominate competitive grant programs.*³⁷

Within this general context, a number of funding strategies have emerged. These have been grouped into a useful typology which is described below.³⁸

4.1 Block Grants with Guidelines

Alternately called categorical grants, these typically flow to institutions that meet certain funding criteria or guidelines. The guidelines specify the purposes for which funds can be used and outline rules for their expenditure. Institutions usually apply for such funds (although this is not always the case) and if their proposals are eligible, the funds flow. Categorical grants are not awarded for achieving particular outcomes (which distinguishes them from *incentive* grants); nor are they competitively awarded (which distinguishes them from *initiative* grants).

Ohio's Academic Challenge Grants are cited as an example of block grants with guidelines. All institutions were judged eligible for 1% additional funding if they could demonstrate that in selected areas, programs were qualitatively enhanced by internal funding increases that exceeded 10%.

Of all special purpose funding initiatives, this category tends to be most acceptable to institutions particularly if program initiatives coincide with institutional priorities. A high degree of accountability is required, however, to ensure that this type of initiative meets its stated objective.

Of the 122 program initiatives in the U.S identified by Holland, 26 (or 21%) were judged to fall into this category.

4.2 Initiative Funding

Sometimes called competitive funding, this particular approach requires institutions to develop proposals for funding according to specified program criteria. Their principal characteristic is their competitive nature. *Initiative funds are prospective awards, provided to carry out activities...expected to advance the funder's objectives.*³⁹

Initiative funding affords a jurisdiction the opportunity to examine a multiplicity of possible responses to particular program objectives. The adjudication of proposals is usually achieved by peer review. Initiative funding is often subject to institutional criticism on the grounds that programs tend to be of short duration and are based on non-recurrent funding. In this respect, they are seen to be disruptive. Competitive funding initiatives are typically weak on accountability although this need not be the case.

Of the 122 funding initiatives identified by Holland, 49 (40%) fell into this category. This made them the most commonly used form of special purpose funding.

4.3 Incentive Funding

The third category of special purpose funding to emerge during the 1980s has been termed incentive funding. Incentive funds are viewed as *a reward given for achieving a desired end or outcome.*⁴⁰ Their principal advantage is judged to be their inherent accountability. Examples cited include Florida's matching grants program designed to encourage increased private

37. *Ibid.*, p. 296.

38. John Folger and Dennis P. Jones, Using Fiscal Policy to Achieve State Education Goals: State Policy and College Learning, Education Commission of the States, August 1993, p. 15.

39. *Ibid.*, p. 16.

40. *Ibid.*, p. 16.

giving and Tennessee's Performance Funding program which allocates funds formulaically on the basis of institutional achievement in selected areas.

Tennessee's program allocates about 5% of total operating support. It is focused on quality assessment and employs a number of performance indicators. These include:

- 1) the increase in the proportion of programs that meet specialized professional accreditation;
- 2) the increase in scores which students display in a generalized achievement test;
- 3) the increase in scores of graduating students on external licensure exams;
- 4) the increase reported in alumni satisfaction;
- 5) corrective measure taken to remove weaknesses identified in particular programs; and
- 6) the development and pilot-testing of new assessment instruments.

Institutions are rated against their own previous achievement and, as of 1988, their performance relative to selected out-of-state peer institutions. Beginning in 1993, new criteria have been included dealing with retention and graduation rates and with minority achievement.

In the Holland study, 30 funding initiatives (25% of the total) were identified as incentive programs.

4.4 Grants to Students

The final category of special purpose funding identified by Folger and Jones encompasses special awards to students that are only valid for a particular subset of institutions or disciplines. An apt Canadian example would be the national scholarship initiative taken by the Federal government to enhance enrolment in science, and in particular the enrolment of women. Interpreted more broadly, special purpose funding to clients has some potential for affecting institutional behaviour within the context of a market environment. Although no examples of "beneficiaries funding" are cited, Folger and Jones conclude that the approach has potential for growth.⁴¹

Special purpose funding is not without its critics. Certainly, from an institutional perspective, special purpose funding can be fraught with difficulty. In addition to being regarded as possibly disruptive to institutional priorities, it is often viewed as unduly intrusive, with the potential to reshape the nature of university-government relations.

But the suspicion runs both ways on this issue. State-level agencies often perceive institutional proposals for improved quality as thinly veiled attempts to maximize resources without a real commitment to use the funds in significantly different ways. Furthermore, many at the state level share a fundamental belief, bolstered by the conclusions of some academic research, that educators lack the inclination - or even the ability - to reform themselves.⁴²

As can be observed from Ontario's experience with special purpose funding, the achievement of selected state objectives within a special funding context requires careful program design and implementation. Undoubtedly, the design of special purpose funding must be explicit as to objectives if it is to be successful. Objectives should be limited, however. *A budget system that is comprehensive in its attempt to use incentives to accomplish a large number of... goals will, of necessity, be so complex that many dysfunctional or irrelevant incentives may be created*

41. *Ibid.*, p. 23.

42. Morgan, *op. cit.*, p. 297.

accidentally.⁴³ Moreover, special purpose funding initiatives should be of sufficient duration⁴⁴ and sufficiently resourced to ensure a chance for success.

Not only must special purpose funding be explicit with respect to objectives, however, it must be explicit in such a way that the achievement of expected outcomes is in some way measurable. In this respect, accountability, both on the part of the funding agent and on the part of the recipient of funds, is critical. Both must be prepared to assess program outcomes and such assessment should contribute to on-going program evaluation. It may be that particular policy objectives are more amenable to particular funding approaches or combinations of approaches and this should be tested. Finally, it should be noted that such initiatives are judged to have greatest potential to succeed where carried out as part of an overall plan for higher education development.

Special envelopes are particularly vulnerable in periods of fiscal constraint as institutions struggle to protect base budgets. Folger and Jones note that *major funding initiatives such as New Jersey's Challenge Grant program and Ohio's Selective Excellence program were the first casualties of reduced state funding.*⁴⁵

5.0 Contractual Funding

Although based on an essentially different philosophical premise, contractual funding is not unrelated to special purpose funding in that it involves the designation of specific state objectives (more specific at least than the general provision of teaching, research and community service) and the implementation of funding programs expressly designed for their achievement. Contractual funding also draws on another recent development in higher education - increasing governmental interest in performance indicators. In effect, it takes the notions of special purpose funding and performance indicators and sets them in a coherent conceptual framework (i.e. public service contracting generally), affording them stronger roots and providing them a larger context within which to flourish.

Although not all affected would share this perspective, much of the recent history of university funding can, in fact, be placed within a contractual context. In one sense, the provision of public funds to higher education, however it is accomplished, can be regarded as an implicit contract for the delivery of educational services. In Ontario, for example, the government provides funding for the delivery of educational services at rates which accord with the volume of activity in particular educational programs. In some other jurisdictions, where line item budgeting prevails, the nature of the contract is even more explicit, with governments, in effect, purchasing defined quantities of teaching and staff personnel, and materials, at specified rates for fixed terms.

Among the characteristics which differentiate traditional university funding, however, from contracting, as it is now becoming known, are the more explicit expectations of service delivery which are implied in contracting arrangements, and the general notion, for some of its proponents at least, of a "market" within which contracting might occur. Other differences include the fact that formulas, for example, are usually applied retrospectively (in Ontario terms, on a slip-year basis) such that the government is paying for services which have already been delivered, while contracts are usually negotiated in advance⁴⁶. Another difference is that formula grants are

43. Richard H. Allen, "New Approaches to Incentive Funding", *New Directions for Institutional Research*, Number 43 (1984), p. 63.

44. The ultimate form of durability may be to build special purpose funding initiatives directly into formula funding mechanisms. This is the unique characteristic of the Tennessee approach.

45. Folger and Jones, *op.cit.*, p. 9.

46. The original Ontario Operating Grants Formula, however, was based on projected enrolment, with penalties (prior year adjustments) being applied for non-performance.

most often flowed as block grants while contracts, which likely would involve a greater degree of accountability, might not be. One of the differences between contracting and the bureaucratic control implicit in line item financing is that former assumes the existence of independent institutions who are free to bid or not for government business while the latter minimizes institutional independence.

Thus, while traditional financing arrangements might notionally be regarded as forms of public service contracting, none are consistent with what might be regarded as good practice within that context. That notion of good practice draws strength from the importance it attaches to

...the question of how to organize production to minimize service delivery costs, in contrast to other methods which consider alternative production arrangements simultaneously with reduced levels of public provision, that is, financing. Cost savings derive from a variety of sources, scale economies, managerial incentives, managerial flexibility and competitive market forces. Contracting separates the production decision from the provision decision, thus permitting the attainment of optimum production scale.⁴⁷

Viewed from this perspective, contractual funding mechanisms need a certain element of market reality to work most effectively. Because there is some reluctance, however, to regard this market reality as one that includes for-profit institutions (given the massive investment already accorded to public institutions), the higher education market remains, in most jurisdictions, something of an oligopoly. The operation of an oligopoly, for example, was quite evident in Great Britain where universities clearly conspired to undermine the government's initial efforts to reduce unit costs by opening up funding of enrolment growth to competitive bidding.

Neave, within the context of French higher education, defines two versions of the market principle emerging since the mid 1980s.

On the one hand stands the concept which may be described as "regulated competition" in which government lays down broad objectives. Individual universities may respond and interpret them in the light of the particular circumstances pertaining in the region or in relation to the specific fields they wish to develop. Autonomy under such conditions consists in the degree of latitude which the individual university has to take up or leave aside such proposals - with all the consequences this may have upon the finances, fortune, or good standing of the establishment. On the other hand, and in contrast to this, stands what in French academia - and outside - see as the "free market" American model in which the individual university assumes - ses risques et son péril - the total responsibility of interpreting and meeting what is written by the invisible hand of the market.⁴⁸

While this contrast is useful in shaping how one thinks about contractual funding, it oversimplifies the nature of American higher education and masks an important distinction which should be drawn between governments and students as consumers of university products. While the notion of the free market may have some validity for students consuming university services

47. James. M. Ferris, "Contracting and Higher Education," Journal of Higher Education, Volume 62, Number 1, 1991, p. 1.

48. Neave, op. cit., p. 78.

from private institutions in the U.S., enrolment at private institutions there constitutes only one quarter of total enrolment. For the rest of American higher education and for much of the rest of the world, the government is much more the contracting party for university services than students are. While it is easy to see why the application of market principles might attract those who see it as a potentially effective strategy for reducing overall unit costs, governments will have to weigh very carefully whether such principles will support or conflict with other operating objectives they may have (e.g. funding equity among institutions). At the very least, one might wish to narrow the arena (of university deliverables) to which market forces might apply. Within this context, it might be useful to broaden one's perspective on what contractual funding might hold for higher education and here the inherent explicitness of contractual funding arrangements may be seen to hold some promise.

Proposals to make the contract...more explicit have several objectives. They include efforts (1) to sharpen the accountability of public funds; (2) to strengthen the institution's commitment to achieving state goals and objectives, whether they are cost savings, increased academic quality, increased access, increased graduation rates, or other desirable outcomes; and (3) to encourage the institution to attract funds through service contracts from various sources, not solely the state.⁴⁹

One of the problems associated with the introduction of contractual funding is what is known in the literature as "information asymmetry". Governments are at a disadvantage with respect to what they know about the cost infrastructure of the agencies with whom they are contracting. And indeed, the actual delivery agent, the academic department, may know a good deal more still about this than either of the two contracting parties. Or in the worst of all possible worlds, none of the parties may know very much about the underlying costs of service delivery. This information asymmetry makes the effective negotiation of contracts, particularly in a competitive environment, problematic.

Good contracts depend on the certainty with which one can describe the conditions under which the service is to be delivered. The deliverables for which one is contracting must be described both with respect to the quantity and quality of the service. And the description of deliverables should be done in such a way as to permit measurement of contract compliance, both during and after the contract term. Finally, the potential to apply sanctions in the case of non-performance must be set out. *The potential to improve the efficiency of higher education funds depends on the design of the contract system, that is, the degree to which contracts make institutional behavior more consistent with state objectives, and on the transaction costs of implementing the system.⁵⁰*

At least two basic options present themselves with respect to the implementation of contractual funding. One can take a comprehensive approach (albeit at the institutional, functional or departmental level) and attempt to encompass all university activity within the contractual framework or one can take a more selective approach, identifying certain university activities which might be viewed as more amenable to contractual arrangements. This might imply a narrow view of service deliverables or the limitation of contractual arrangements to selected government objectives or desired reforms.

Taking the narrower sense, we are not in unfamiliar territory for some of the evolution of traditional funding methods towards contracting was implicit in development of strategically targeted research funding for which researchers were invited to bid. The Centres of Excellence initiatives are a good recent example of incipient contractual funding in Ontario. The practice then

49. Ferris, *op. cit.*, p. 13.

50. *Ibid.*, p. 15.

spread into targeted operating funds, e.g. excellence funds or adjustment funds in Ontario context. A more ambitious application of this limited form of contractual funding is described by Neave in his narrative of recent developments in French Higher education, *with respect to the implementation of a major academic reform, the renewed first cycle Diplôme d'Etudes Universitaires Générales for which French universities were permitted to bid. The contracting arrangement entailed a commitment by the government to evaluate the results in the light of specified objectives.*⁵¹

Both Denmark and the Netherlands are also described in the literature as moving towards contractual funding. The Danish example draws its roots from a highly centralized higher education planning structure in which admission targets are established by institution and program and funds flowed in accordance with normative data on the costs of producing a graduate in a given discipline.⁵² Although Dutch universities enjoy a much greater degree of administrative autonomy from government than is the case in Denmark, central planning there, too, enjoys a prominent place in the management of higher education. It is within this context of more explicit expectations of institutional behaviour that contractual funding in the Netherlands is moving forward. In addition to block grants for teaching and research, the Dutch government is exploring the development of a "mission budget" to finance institutional innovation, the determination of which will be based, in part, on the use of performance indicators.⁵³

Although some of the principles of contractual funding may first have surfaced in continental Europe, it is in the United Kingdom that the implementation of comprehensive contractual funding seems to have made most progress. There, the administrative relationships between universities and government and governmental expectations of university service delivery are annually described in Financial Memoranda entered into between the Higher Education Funding Council of England and individual institutions.

Australia, as well, claims to be moving towards a comprehensive system of contractual funding based on the negotiation of educational profiles. The Australian initiative was framed within the context of a "Unified National System" which universities were invited to join if they wanted access to public funding. As a condition of joining, the Minister of Employment, Education and Training sought institutional *commitment to a number of the objectives which were presented in the Government's Policy Statement on Higher Education.*⁵⁴ These objectives included:

- internal management review
- implementation of the principle of credit transfer
- implementation of a staff management plan
- a common academic year
- determination of equity goals as an integral part of the institution's planning, management and review.

51. Neave, op. cit., p. 74.

52. The best available English-language description of Danish higher education financing appears in the OECD publication, Changing Patterns of Finance in Higher Education Financing, Country Study: Denmark, Paris, 1989.

53. Frans A. van Vught, "The Netherlands: From Corrective to Facilitative Governmental Policies," in Neave, op. cit., p. 122.

54. Cited in Ross Harrold, "Evolution of Higher Education Finance in Australia", Higher Education Quarterly, Volume 46, Number 2, 1992, p. 329.

The determination of specific university funding levels in Australia is to be determined using educational profiles which describe institutional *current and planned student loads and completions by course type and teaching mode, as well as its research activities*.⁵⁵

The comprehensive contract, as it is being developed in the United Kingdom and Australia, is ambitious in attempting to ensure state influence in a wide range of areas. An alternative strategy would seem to be an incremental approach, applying contractual principles, initially, to limited program areas or governmental initiatives. Notwithstanding, contractual funding is seen by some to hold much promise as a means of making government expectations of university behaviour and performance more explicit without resorting to bureaucratic intrusion in the management of those institutions. It fundamentally redirects the nature of university funding from the notion of funding entitlement to the notion of payment for service delivered.

6.0 Research Funding

With the exception of the United States, most OECD countries have adopted what is known as a dual support system for the funding of academic research. This has involved the provision of the necessary infrastructure for carrying out research (i.e. meeting its *indirect costs*) from general university operating and capital funds *although the proportion intended for this purpose is often not specified and is a function of the interests and teaching commitments of academic staff rather than of national research need*.⁵⁶ In such dual support systems, the *direct costs* of university research have traditionally been funded outside the general university budget.

The direct costs of university research typically involve the expenditures associated with specific short- to mid-term research projects carried out by principal investigators with the support of research councils or foundations. They also include the costs of mid- to long-term research initiatives focused in specialized university or university-related laboratories which may be supported by research councils or by various ministries of government. A significant amount of research of an academic nature may also be carried out in government laboratories.

As can be seen in the attached table (based on the results of a recent study involving six OECD member states), general university funds have provided significant levels of support for academic research, even where the dual support system is not acknowledged to exist. The proportion of academic research expenditure derived from general university funds varies from a low of 20% in the U.S., where dual funding does not formally exist, to a high of almost 70% in Japan, where cultural values have made the widespread use of competitive research funding problematic.⁵⁷ Data for the United Kingdom suggest that in 1987, as much as 50% of total university funding was devoted to research support.⁵⁸

Throughout the 1980s, there has been growing concern over the extent to which general university funds represent, in some jurisdictions at least, the predominant form of research support. This concern has arisen in conjunction with increasing concern about university accountability in general. It derives from frustration over governments' perceived inability to strategically shape the

55. *Ibid.*, p. 330.

56. OECD, *op. cit.*, p. 29. In 1985, the French Government established a National Committee for the Evaluation of Universities (CNEU). Among its more controversial findings was that while there was an expectation that faculty at French universities should spend 50% of their time involved in research activity, about half had no research activity at all.

57. John Irvine, Ben R. Martin, and Phoebe Isard, *Investing in the Future: An International Comparison of Government Funding of Academic and Related Research*, Report of a Study Sponsored by the UK Advisory Board for the Research Councils and the US National Science Foundation, Aldershot, 1990.

58. Harry Atkinson, "Issues in Funding Research", in *Research and Higher Education: The United States and the United Kingdom*, edited by Thomas G. Whiston and Roger L. Geiger, Buckingham, 1992, p. 56.

directions of their investment in university research and to maintain some control over the balance between teaching and research. Thus ...*there has been a recent move towards reducing the linkage between funding for teaching and funding for research.*⁵⁹ This has been the case particularly in the Netherlands and Great Britain.

Table 1
Distribution of Sources of Support of Academic Research
in Selected Countries, 1987

	U.K.	Germany	France	Holland	U.S.A.	Japan
Academic Research financed by general university funds	51.0%	52.6%	29.7%	61.7%	20.8%	67.3%
Sponsored, separately budgeted research	20.1%	18.1%	31.0%	19.9%	66.4%	23.8%
Academically related research conducted in external facilities	28.9%	29.3%	39.3%	18.4%	12.8%	9.0%
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Source: Irvine *et al.*, *Investing in the Future*

The principal models which have emerged for research funding include provision for:

- a significant amount of direct and indirect academic research funding flowing through general university funds (the Japanese model)
- some separation of the direct and indirect costs of research with most indirect costs flowing through operating funds (the Canadian model)
- some separation of the direct and indirect cost of research with most indirect costs flowing through a designated research envelope into university operating funds (the Dutch and British models)
- some separation of direct and indirect research costs but with significant direct and indirect funding flowing to research institutes (the French model)
- significant separation of instructional and research costs with some support for research being drawn from general university funds but the majority of direct and indirect research costs being separately funded (the American model).

59. Michael G. Taylor, "New Financial Models", Higher Education Management, Volume 3, Number 3, 1991, p. 208.

The Netherlands

Throughout much of its recent history, the funding of academic research in the Netherlands was pursued along traditional dual support lines in acknowledgement of the premise that teaching and research were "warp and woof of the same weave".⁶⁰ Within this context, it was generally believed that research activity consumed about half of general university funds.

Arising from concerns in the late 1970s *about the quality and socio-economic relevance of academic research, and [from] pressure... for a greater level of accountability and external direction in relation to how government core-funding [was] deployed*,⁶¹ the Dutch moved in 1983 to a system of "conditional funding" for research. Conditional funding has shifted support for the research infrastructure away from student numbers *to an approach which to a considerable extent is based on norms and criteria, including the criteria of scientific quality and societal relevance. Second, a system of quality assessment of research has been introduced. Research programs have to be approved by external bodies (of peers) before they can be considered for funding. If external approval is granted, the funding of a program is guaranteed for a five-year period, after which a new assessment has to be made*.⁶²

The Dutch continue to recognize that some element of scholarship and unsponsored research are dependent on the volume of teaching activity and, accordingly, teaching budgets include a 20% provision for such unstructured activity. This value is not inconsistent with that estimated for the United States (see Table 1 above) where research *per se* does not draw support from university operating funds.

It should be noted that conditional research funding still constitutes an element of general university funding in the Netherlands, albeit an earmarked one. The purpose of the Dutch approach is not so much to determine an allocation for specific research activity as it is a means of distributing operating funds to those departments and institutions whose research is most active.

United Kingdom

For much the same reasons that prompted the Dutch government to initiate a major policy shift in 1983 with respect to the funding of research infrastructure in the Netherlands, the British government, through the University Grants Committee, initiated in 1985 a new approach to the distribution of research-related university operating funds. The intent of the British initiative was to concentrate research activity in areas of assessed strength, to increase the emphasis on the exploitability of academic science and to enhance collaboration between academics and industry. In its first three years of operation, about 15% of university operating funds were distributed through the new approach. The equivalent number for 1994-95 is about 25%.

The main criteria used to rank the research output of various departments were: publications and other publicly identifiable outputs; success in obtaining research grants and studentships,

60. From a report by Posthumus (1968), cited in R. Brons, "Changing the National Funding System for Higher Education in the Netherlands: A Challenge for Institutional Management," in Changing Financial Relations between Government and Higher Education, edited by J.A. Acherman and R. Brons, Enschede, The Netherlands, 1989, p. 74.

61. Irvine et al, op. cit., p. 109.

62. Frans A. van Vught, "The Netherlands: From Corrective to Facilitative Governmental Policies," in Neave, op. cit., p. 118.

*in particular from the research councils; success in obtaining research contracts; and the views of an advisory peer review panel established for the exercise.*⁶³

To date there have been three rounds of assessment, one in 1985, one in 1989, and one in 1992. The assessments involve rating by peers on a five point scale (generating weights of 0-4) and constitute an important element of a what is otherwise a formulaic distribution of the research envelope. Essentially, the formula makes provision for funding the number of "research active academic staff," 10% of research assistants, 15% of research students, and 5% of "charity-funded equivalent staff" in accordance with the weighting achieved on the quality assessments. *That the funding of [research] was highly selective is apparent from a distribution plot for the [research] allocations to the former UFC institutions which shows that 75 per cent of the funding provided went to 20 institutions.*⁶⁴

7.0 Conclusion

This paper has examined the recent evolution of university funding mechanisms in a large number of jurisdictions in Europe and North America. Such mechanisms are as different as they are numerous. Nevertheless, in the course of this overview, it has been possible to identify a number of common themes which are motivating governments everywhere to examine the effectiveness of their funding mechanisms as instruments of public policy and change. These themes include:

- a universally perceived need to enhance university accountability
- a widely perceived need to make universities more responsive to government policy
- concern about quality, particularly the quality of teaching
- concern about the balance between teaching and research
- concern about the relevance and value of research activity
- a desire for enhanced institutional differentiation
- concern over issues of access and social equity.

While the specific responses these concerns have engendered have varied, the weight of change globally has favoured:

- a movement away from judgmental towards analytic approaches to university funding
- recognition of the need to expand sources of financial support for higher education
- the movement away from rigid administrative control towards a greater degree of administrative autonomy
- at the same time, the development of more explicit expectations of university performance and behaviour
- the design of systems to measure institutional outcomes
- the provision of financial incentives to stimulate university movement towards desired outcomes
- the increasing use of contractual arrangements to formalize the concurrence of government expectations and university behaviour.

63. Geoffrey Walford, "Changing Relationships between Government and Higher Education in Britain," in Neave, *op. cit.*, p. 174.

64. HEFCE, *op. cit.*, p. 14.

Ontario's has been a tradition of highly autonomous universities playing out their individual roles in what, relatively speaking, is a largely unplanned system. If Ontarians find it difficult to imagine a different framework for defining the role of universities and the way in which they interact with and serve the broader community, the examples of alternatives are legion within the context of this more global perspective.

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**Undergraduate Teaching, Research and
Consulting/Community Service:
What are the Functional Interactions?
A Literature Survey**

August 1994

1.0 Introduction

This paper is one of a number of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system for universities in Ontario. Its purpose is to examine relationships among the university functions of teaching, research and community service.

In addressing the question, recent literature was examined for perspectives and empirical evidence on the functional interactions among teaching, research, and consulting/community service. It should be emphasized at the outset that in this paper each of these activities is taken to be highly valued. What is being examined is strictly the interactions among them.

In this paper "teaching" refers predominantly, if not exclusively, to **instruction of undergraduates**. Graduate teaching, which covers a broad range from conventional lectures through case studies and seminars, to thesis supervision, is rarely mentioned in the literature examined and the claims made in this paper about interactions probably do not apply to graduate (and even some senior undergraduate) teaching. Many familiar practices in Ontario universities imply a close connection between research and graduate teaching, including research requirements at most universities for those seeking membership in the graduate teaching faculty and the integrated approach to graduate program appraisals by the Ontario Council on Graduate Studies.

A consistent working definition for "research" presents some difficulty. For example, a point made frequently in the literature is that the definition of research has narrowed over time and is now generally associated with the words discovery, pure, basic, or scientific. However, the empirical studies and perspectives reviewed here generally do not differentiate among definitions of research and it is not always possible to identify the sense in which the word is used. This paper follows current usage in which research is taken as equivalent to discovery research except where the context clearly signals otherwise.

Research as the scholarship of discovery is part of an approach to a broader definition of scholarship that has been gathering momentum in the U.S.¹ In this approach the other forms of scholarship which are given equal weight are the scholarship of teaching, the scholarship of integration and the scholarship of practice. These ideas may be traced in part to the 1972 Report of the Bonneau-Corry Commission appointed by the Association of Universities and Colleges of Canada. It argues for "reflective inquiry" as an important form of scholarship, distinct from "frontier" or discovery research.²

"Consulting/community service" embraces an array of activities. In the U.S. literature the common label seems to be "public service". The varied activities are generally sorted in terms of their reliance on academic or professional qualifications. Thus, consulting or advising government, industry, or community groups would be included within "service" to the extent to which they draw on special expertise and/or talent and are separable from the usual obligations of all citizens. In this paper the focus will be on external service, including both remunerated and volunteer activities, provided by individuals, rather than the institutions to which they belong. This category does not include "service" on committees internal to the university, although the culture in some institutions supports this usage.

1. See, for example, Ernest Boyer, Scholarship Reconsidered, The Carnegie Foundation, Washington, 1990, and R. Eugene Rice, "Toward a Broader Conception of Scholarship: The American Context," Chapter 9 in Thomas G. Whiston and Roger L. Geiger, editors, Research and Higher Education: The United States and the United Kingdom. The Society for Research into Higher Education and Open University Press, Buckingham, 1992. Boyer is President of the Carnegie Foundation for the Advancement of Teaching and was formerly Chancellor, State University of New York. Rice is Director, Faculty Roles and Rewards, the American Association for Higher Education, Washington, D.C. and was formerly with Antioch College.

2. Louis-Philippe Bonneau and J.A. Corry, Quest for the Optimum: Research Policy in the Universities of Canada, The Report of a Commission to Study the Rationalisation of University Research, Association of Universities and Colleges of Canada, Ottawa, 1972.

Samples of the diverse views from the literature are organized as a spectrum with four regions characterizing the functional relationship of undergraduate teaching and research as: coupled (symbiotic/synergistic), independent, conflicting/competitive, incompatible.

Where available, perspectives in similar categories are presented in the much briefer literature on interactions of consulting/community service with teaching/research. Conclusions drawn from this literature are necessarily tentative.

In this review of the literature it is suggested that, while **opinions** are varied, the **evidence** accumulated in the literature over the past 25 years is in substantial agreement that there are no necessary links between effective undergraduate teaching and research. Excellent researchers may well be excellent teachers but there is nothing to suggest that one is a prerequisite for the other. Similarly, there may be superb teachers who have little or no active engagement in what Rice, Boyer and others call discovery research.

Figure 1 illustrates the spectrum of views and contrasts the traditional view, largely focused on a coupled interaction, with the range of the empirical evidence to be presented.

Figure 1

Universities and their Main Missions - Four Views of Possible Interactions

Research/Teaching	Research & Teaching	Research vs. Teaching	<u>Research</u> <u>Teaching</u>
[Coupled]	[Independent]	[Conflicting]	[Incompatible]
<-----Traditional View----->			<-----Empirical Evidence----->

2.0 Literature on Various Views of the Interactions between Teaching and Research
Perspectives and, where available, empirical evidence are presented in turn for each of the four possible interactions between undergraduate teaching and research.

2.1 Teaching and Research as Coupled, Symbiotic or Synergistic Activities
This is the current view of the issue, at least within the academy. A distinguished Canadian scientist made the case for this view in this way:

[T]he culture of research is the appropriate one for the university-level teacher. To keep that culture alive in the absence of involvement in research, is extremely difficult and seldom achieved.

The faculty are only able to argue knowledgeably over competing priorities in teaching because they are in close touch with the growing points of their discipline. They can see, better than others, where the subject is headed. The more accomplished they are as researchers, the further ahead they can see - since it is before all else this sense of direction that determines success or failure in research.³

3. John Polanyi, How Research Supports University Teaching, Council of Ontario Universities Symposium on 'Research and Teaching', University of Western Ontario, May 18, 1994.

Another example of this position is the 1994 White Paper from the University of Toronto. While this draft report represents an invitation to dialogue rather than final policy, its orientation is that of symbiosis or synergism between teaching and research.

*We are a research university. The nexus between teaching and research is absolutely central to our mission. What distinguishes us is not only our strengths in research and scholarship, but also the reflection of these strengths in our undergraduate, graduate and professional teaching programs. These programs need to incorporate, communicate and reinforce our research and scholarship capacity.*⁴

*One of the great strengths of a research university is to offer students the opportunity to experience the continuum and the ongoing interplay between the development and the transmission of knowledge. They have that experience by being taught by people who are actively engaged in scholarship, and by participating themselves in research and scholarly work.*⁵

In a similar vein, Henry Rosovsky⁶, former Dean of Arts and Science at Harvard, describes teaching and research at university colleges (that is, undergraduate colleges within research universities) as "complementary" and defends university research in terms of a belief in progress and as a means of avoiding faculty burn-out.

A more nuanced view which casts some doubt on the synergy between teaching and research is presented by Harold Shapiro, President of Princeton University:

*The predicament is not that they [faculty of research universities] fail to devote adequate time to teaching but that they are transmitting what they know - and love - with too little awareness of what it is that the student needs to learn. Indeed, we could almost say that the real problem for the faculty of research universities is that teaching and research are too closely related.*⁷

*We need to focus less intently on the transmission of specialized knowledge and be more sensitive to the need to infuse students with both the excitement of discovery and the capacity for analysis and continued learning. This may imply, among other things, that the faculty ought to separate somewhat their teaching and research responsibilities.*⁸

Among some who support the notion of teaching/research synergism for some disciplines or at some institutions, there are caveats. For example, a limitation on the presumed positive

4. Adel Sedra and Carolyn Tuohy, Planning for 2000: A Provostial White Paper on University Objectives, University of Toronto, February 14, 1994. Draft, p. S3.

5. Ibid., p. S5.

6. Henry Rosovsky, The University: An Owner's Manual, W.W. Norton, New York, 1990, p. 84.

7. Harold T. Shapiro, "Balancing a Portfolio of Civic Responsibilities: The Research University," in G.A. Budig, editor, A Higher Education Map for the 1990s, ACE/Macmillan, New York, 1992, p. 61.

8. Ibid., p. 63.

teaching/research connection is identified by Joseph Ben-David, former professor of sociology and education at the University of Chicago:

*This combination of advanced research [discovery research] and study has been realized only in small parts of the university, but those parts, in which teachers and students use their freedom for its original purpose of research and study, have legitimized the turning of freedom by others who do not do research or study into unjustified privilege. As a result, the idea of the free research university, which is supposed to unify research and teaching at all levels, has been maintained in the new mass university under circumstances that do not always justify it.*⁹

Simon Schwartzman, who supports Ben-David's position, also sees a similar problem among institutions:

*The basic paradox is that there is a large gap between the ideology of the centrality of scientific research in the higher educational systems and the historical fact that the overlap between the two [research and higher education] is problematical and often reduced to a small number of elite universities.*¹⁰

A recent paper by Burton Clark¹¹, University of California - Los Angeles, sets out the historical framework within which a research-teaching-study nexus, originating in Germany early in the nineteenth century, spread to most Western countries. This framework rationalizes the strong commitment by academics to the nexus, the minimal role for utilitarian research within it, and the tendencies toward its deterioration in the last half-century.

Clark points to the individual institutions, through their graduate research departments, as the most viable locus for re-establishing the nexus. Constraints, such as the realities related to mass undergraduate education, the demand for education not related to research and limitations in government funding will impose a high level of differentiation on any system pursuing this route:

*The long-term flow is clear. If a modern system of higher education is going to support and protect an integration of research with teaching and study, it will at the most macro level develop an institutional concentration of the nexus. If spread among all institutions, the nexus will become too costly, underfunded in unit support, and weakened by diffusion.*¹²

2.2 Teaching and Research as Independent Functions

In his handbook on teaching, Derek Bok, former President of Harvard University, offers a number of concrete suggestions for its improvement without reference to a research nexus.¹³ On

9. Joseph Ben-David, Centers of Learning: Britain, France, Germany, United States, Reprint, Transaction Publishers, New Brunswick, N.J., 1992, p. 166. Originally published, McGraw-Hill, New York, 1977.

10. Simon Schwartzman, "The Focus on Scientific Activity," in Burton R. Clark, editor, Perspectives on Higher Education. Eight Disciplinary Views, University of California Press, Berkeley, 1984, p. 207.

11. Burton R. Clark, "The Research-Teaching-Study Nexus in Modern Systems of Higher Education," Higher Education Policy, 7, 11-17, 1994. Clark is Professor Emeritus, Department of Education, UCLA.

12. Ibid., p. 14.

13. Derek Bok, The Improvement of Teaching, American Council of Learned Societies, New York, 1991.

the question of the actual relationship between teaching and research Bok defers to: *The most authoritative survey of all the research on these topics...* by Kenneth Feldman, Department of Sociology, State University of New York, Stony Brook, NY.

The detailed review by Feldman of 29 studies on the relationship between research productivity and teaching effectiveness of university teachers (as measured by student evaluations) examines many variables and their interactions.¹⁴ Feldman's re-examination of these studies shows little support for the traditional position:

*The present review found that, on the whole, scholarly accomplishment or research productivity of college and university faculty members is only slightly associated with teaching proficiency.*¹⁵

Feldman also investigates whether the apparent independence between research productivity and overall teaching effectiveness results from a cancellation of strong positive and negative correlations in certain dimensions. In this part of the work several weak positive associations are revealed:

*The largest of the correlations (a little over or under + .20)¹⁶ were between research productivity and knowledge of the subject, intellectual expansiveness, preparation and organization, and clarity of course objectives and requirements.*¹⁷

A summary of seven of the strongest of these weakly positive correlations appears in the Appendix. (p. 18)

Feldman's work is very thorough and the results are widely quoted as documentation that teaching and research are largely independent functions. A possible criticism is that most of the studies which he analyzes rely on student ratings of instruction as the only measure of teaching effectiveness.

Two points may be made in this connection. Wilbert McKeachie¹⁸, University of Michigan, makes the following statement about the relative merits of measures of teaching effectiveness: *student ratings are the best validated of all the practical sources of relevant data.* Moreover, a follow-up article in 1988 by Feldman¹⁹ on 31 studies in which ratings of teaching effectiveness by students (more than 13,000) and by faculty (more than 4,000) could be compared,

14. Kenneth A. Feldman, "Research Productivity and Scholarly Accomplishment of College Teachers as Related to their Instructional Effectiveness: A Review and Exploration," Research in Higher Education, 26, 227-298, 1987.

15. Ibid., p. 275.

16. One approach to the meaning of $r = .20$ ($r^2 = .04$ or 4%) is to say that the two variables are correlated to the extent of 4%, or that one variable "explains" 4% of the variance in the other.

17. Ibid., p. 276.

18. Wilbert J. McKeachie, "Research on College Teaching: The Historical Background," Journal of Educational Psychology, 82, 1990, p. 194. Professor McKeachie is with the Center for Research on Learning and Teaching and National Center for Research to Improve Postsecondary Teaching and Learning, University of Michigan.

19. Kenneth A. Feldman, "Effective College Teaching from the Students' and Faculty's View: Matched or Mismatched Priorities?", Research in Higher Education, 28, 291-344, 1988.

shows significant agreement between faculty and students in the characteristics which they considered important to effective teaching.²⁰

A recent study from Australia,²¹ based on responses from 2,000 faculty, finds either no relation or a negative relation between teaching and research at both the individual and department levels. Based on these findings, the authors reach the following three conclusions which may have relevance beyond Australia:

First, the practice of allowing research performance to act as surrogate for teaching performance, as often happens when lecturers are appointed, is insupportable; teaching and research need to be separately assessed.

The second implication might appear to be that separation of teaching and research would increase quality - especially teaching quality.

A final implication relates to student choice of high quality courses. Our findings suggest that undergraduate students who select their programmes of study in the belief that high status, highly selective, highly productive research departments will provide the best teaching may be making a mistake. The most committed teachers are sometimes to be found in the less distinguished departments - which, paradoxically, often have lower entry requirements.

To further test the relationship between research and teaching, SUNY, Albany researchers Fredericks Volkwein and David Carbone²² in 1994 examined four measures of departmental research climate, four measures of teaching climate, and five outcomes variables in a survey of 27 academic departments of a research intensive university. The results of this study, which show teaching and research to be largely independent, are illustrated in these passages:

...we find little evidence to support the argument in the literature that research enhances teaching; but we find even less evidence to support the opposite argument that research is harmful to teaching.²³

...it appears that student learning, development, and satisfaction are primarily influenced by the vitality of the classroom experience, and secondarily by student-faculty relationships outside the classroom and by the strength of student friendships.²⁴

20. The average r of + .71 may be taken as meaning that the two variables are correlated to the extent of 50% (r^2) or that one variable "explains" 50% of the variance in the other.

21. Paul Ramsden and Ingrid Moses, "Associations Between Research and Teaching in Australian Higher Education," *Higher Education*, 23, 273-295, 1992. Ramsden is with the Center for the Study of Higher Education, University of Melbourne. Moses is Pro Vice-Chancellor, University of Canberra.

22. J. Fredericks Volkwein and David A. Carbone, "The Impact of Departmental Research and Teaching Climates on Undergraduate Growth and Satisfaction," *Journal of Higher Education*, 65, 147-167, 1994. Volkwein is Director of Instructional Research and Adjunct Professor of Educational Administration and Policy Studies at SUNY. Carbone was a doctoral student when the article was written.

23. *Ibid.*, p. 162.

24. *Ibid.*, p. 163.

2.3 Teaching and Research in Competition or Conflict

This point of view arises from a focus on teaching and research as the principal outputs of a single producer (faculty). While the work of Feldman reveals many complex and slightly positive interactions between teaching and research, there are others who put the case for their competitive, or negative, interactions.

Eliot Marshall and Joseph Palca²⁵ have recently collected some comments on the state of the perceived competition:

[Norman Hackerman, former President of Rice University and former Chairman of the National Science Board] *hears 'constant complaints' that faculty members regard education as a chore; 'they're off in all directions seeking support and fame,' ignoring the reason for them being there.*

Richard Anderson, the chancellor of the University of California at San Diego, concludes in a similar vein:

We have let the concern for undergraduate teaching drift,...[when I was an undergraduate]...the superstars of the faculty taught the big undergraduate classes...

If research and teaching are seen as competitors, they do not operate on a level playing field according to Bok.²⁶ He argues that since academics value theory over practice, they will also value research over teaching. Others attribute these faculty priorities to the influence of the major research universities where many future faculty for all types of university receive their training.

Alexander Astin²⁷, University of California - Los Angeles, provides a perspective from students based on national (United States) surveys. In his summary of student views of faculty, two opposing characteristics are identified:

*Attending a college whose faculty is heavily Research-Oriented increases student dissatisfaction and impacts negatively on most measures of cognitive and affective development. ...Attending a college that is strongly oriented toward student development shows the opposite pattern of effects.*²⁸

William Daly,²⁹ a political scientist, in an analysis largely premised on apparent conflict between teaching and research, draws on national (United States) survey results for the following which supports the theme identified earlier by Ben-David and Schwartzman:

25. Eliot Marshall and Joseph Palca, "Cracks in the Ivory Tower," Science, 257, 1196-1201, 1992.

26. Derek Bok, Universities and the Future of America, Duke University Press, Durham, 1990, p. 49.

27. Alexander W. Astin, What Matters in College? Four Critical Years Revisited, Jossey-Bass, San Francisco, 1993. Astin is an Allan M. Carter Professor of Higher Education and Director of the Higher Education Research Institute at UCLA.

28. Ibid., p. 363.

29. William T. Daly, "Teaching and Scholarship: Adapting American Higher Education to Hard Times," Journal of Higher Education, 65, 45-57, 1994. Daly is Professor of Political Science, Stockton State College of New Jersey, and former Chair, N.J. Department of Higher Education's Advisory Council on General Education.

What is most striking in the national surveys of faculty perceptions is that the tendency to subordinate teaching to research seems to have spread from the major research universities, where it might conceivably be justified as an extension of their central goal of generating new knowledge, to the much larger number of four- and even two-year institutions, whose stated missions and limited research facilities should make them unambiguously teaching-oriented institutions.³⁰

In Daly's view the opposition between this increasingly widespread view within the academy and the often strident demands from the public for more attention to teaching is difficult to resolve. He suggests that the only possibility for change resides in broadening of the definition of scholarship. He proposes the category of "aggregative scholarship" which is similar to the four-fold view of scholarship advocated by Lynton, Rice, Elton and Boyer, among others:

Aggregative scholarship involves an ongoing attempt to aggregate and interpret these specialized research findings [discovery research] in search of interconnections, trends, and early indications of long-term significance. It also involves the attempt to present the results of this endeavour in ways that will be intelligible and interesting to non-specialists.³¹

The competition between teaching and research is analyzed by William Massy and Andrea Wilger³², Stanford University, in terms of the "academic ratchet" and "output creep". They postulate a cycle which begins with an enrolment increase resulting in reduced research activity. This reduction is remedied by hiring additional faculty. However, when enrolment falls to its original level, *a combination of perceived property rights and faculty employment contracts prevents immediate downsizing*. The resulting higher departmental research level then becomes the norm so that the next enrolment surge activates a new cycle of demand for increased faculty. The overall result of this cycle is "output creep" away from teaching and toward research activity.

A Canadian perspective is provided by Ian Johnston³³, Malaspina College, who argues in terms of *the deleterious effect of research and publication on instruction*. He reviews CAUT policy statements as well as a number of Canadian and other references before concluding that, while the traditional view of symbiosis between teaching and research is widespread, there is little empirical support for it and that there may be other reasons for its continuation.

There is some empirical evidence in support of the conflictual relationship between teaching and research. Working from a national (United States) sample of nearly 4,000 social

30. *Ibid.*, p. 49.

31. *Ibid.*, p. 51.

32. William F. Massy and Andrea K. Wilger, "Productivity in Postsecondary Education: A New Approach," *Educational Evaluation and Policy Analysis*, 14, 361-376, 1992. Massy is Professor of Education and Director, Stanford Institute for Higher Education Research. Wilger is Project Co-ordinator, Stanford Institute for Higher Education Research.

33. Ian C. Johnston, "Myth Conceptions of Academic Work," *The Canadian Journal of Higher Education*, 21, 108-116, 1991.

science faculty, Mary Frank Fox, Pennsylvania State University, analyzes a number of measures of research and teaching commitment and productivity.³⁴ Her conclusion is:

...with some variation by the degree-granting level of the faculty's departments, the data indicate that, in practice, good - or at least productive - researchers have less classroom contact with students, spend fewer hours preparing for courses, and consider teaching much less important than research.

2.4 Teaching as Subordinate to, or Incompatible with, Research

One proponent of this view is Jaroslav Pelikan,³⁵ a distinguished historian and former Dean of Graduate Studies at Yale University, who undertakes a re-examination of Cardinal Newman's philosophy of a university. Newman believed that:

*...to discover and to teach are distinct functions; they are also distinct gifts, and they are not commonly found united in the same person.*³⁶

Pelikan himself is even more forthright:

*...there are, after all,...alternative ways for scholars of excellence to make a decent living without being reduced to the teaching of undergraduates.*³⁷

That this view is shared by others is attested by Bok who recounts his experience of hearing similar views in the advice he received before assuming the presidency of Harvard.³⁸ Several others, while less provocative, view teaching as subordinate to, or incompatible with, research. For example:

*It is probable that there is some incompatibility between being a good teacher and being a good researcher, but the profession as a whole would be reluctant to admit this since lecturers hold their job by virtue of being teachers...not researchers.*³⁹

34. Mary Frank Fox, "Research, Teaching, and Publication Productivity: Mutuality Versus Competition in Academia," *Sociology of Education*, 65, 293-305, 1992. Fox is Associate Professor, Department of Sociology and Women's Studies Program.

35. Jaroslav Pelikan, *The Idea of the University: A Reexamination*, Yale University Press, New Haven, 1992.

36. *Ibid.*, p. 89.

37. *Ibid.*, p. 90.

38. Derek Bok, *Higher Learning*, Harvard University Press, Cambridge, 1986. p. 35-36.

39. Harry L. Gray and Charles H. Hoy, "University Development: The Balance Between Research and Teaching," *Higher Education Review*, 22, 35-46, 1989. p. 40. Gray is Lecturer in Educational Research, University of Lancaster. Hoy is Director, Staff Development Unit, University of Manchester.

Closer to home, a recent Canadian survey concludes:

*Academics and academic administrators in Ontario value research and believe it is an academic's preeminent work; teaching is secondary.*⁴⁰

3.0 Summary: Evolution in the Relationships between Research and Teaching

The priorities of the present day university are readily traced. A cursory review of university development since the early nineteenth century shows that the primacy of research, largely taken for granted today, is in fact quite recent. Secondly, there is evidence that the definition of research has narrowed in the process. While this trend was recognized as early as the sixties,⁴¹ in the last decade or so calls have again been made for a reassessment of university priorities.⁴² Today, universities everywhere are under strong pressure to give greater attention to undergraduate education, to recognize a broader range of scholarship, and to provide meaningful public service.

While perspectives in the literature on the relationship between undergraduate teaching cover a wide spectrum, a substantial consensus centers around the belief that these functions are coupled. However, the empirical evidence reviewed supports the conclusion that undergraduate teaching, except perhaps for some fourth year work done with Honours students, is a function largely independent from, if not conflicting with, research.⁴³

The literature reviewed in this paper does not deny the possibility of differentiation by institution or by discipline, or downplay either the role of broadly defined faculty scholarship in university teaching or the value of pedagogy based on methods of inquiry. However, the case for university faculty maintaining a major involvement in discovery research in order to support their undergraduate teaching activities has not been made. Undergraduate students are considered in the literature to be, on average, at least as well served by faculty with knowledge of their disciplines and the methodology of research combined with an interest in students which Astin calls "Student Orientation".

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40. Mei-Fei Elrick, "Improving Instruction in Universities: A Case Study of the Ontario Universities Program for Instructional Development (OUPID)," *The Canadian Journal of Higher Education*, 20, 61-79, 1990, p. 64. Elrick is instructional development associate, Teaching Support Services, University of Guelph.
41. Calvin B.T. Lee, editor, *Improving College Teaching*, American Council on Education, Washington, 1967.
42. Blair Neatby, "The Academic Profession: A Historical Perspective - Community of Scholars in Ontario," in *The Professoriate - Occupation in Crisis*, The Higher Education Group, The Ontario Institute for Studies in Education, 1985. Neatby is Professor Emeritus in History at Carleton University.
43. As mentioned in the Introduction, this general statement is not intended to apply to the interactions between research and graduate teaching.

Table 1 contains a summary of the evidence reviewed in this paper.

Table 1 Some Empirical Studies of Views on Teaching/Research Interactions			
Author(s)	Year	Sample	Conclusions
Based on student evaluation of teaching			
Feldman	1987	re-examination of 29 studies	independent ⁴⁴
Astin	1993	multiple surveys, U.S. students	conflicting
Including other measures of evaluating teaching			
Fox	1992	4,000 U.S. social scientists	conflicting
Ramsden & Moses	1992	2,000 Australian faculty	independent/conflicting
Volkwein & Carbone	1994	27 departments at a U.S. research institution	independent

4.0 **The Nature of Functional Interactions of Teaching and Research with Consulting/Community Service**

Compared to the relatively abundant literature on interactions between teaching and research, there is little literature available on interactions with the third major component of faculty activity. Variously known as community service, consulting, public or professional service, this component may amount to as much as 20 per cent of faculty time (1 day/week).

For some, this third component of faculty activity is uniquely American:

Perkins pointed out that modern American research universities are a hybrid of two earlier traditions [German and British], with a peculiarly American shoot grafted on...first exemplified...in the land grant universities... [with] the practical importance of knowledge 'in the nation's service'.⁴⁵

The importance of public service directed toward the larger society is stressed in several papers from a 1993 conference at the University of Pennsylvania on the role of universities in urban life.

...it is time to set aside polarized, dichotomous thinking that falsely sets universities apart from the communities that sustain them. Universities must continue to be places where idle curiosity is cherished, where art and music are appreciated for the qualities that are inherent in them, and where ideas

44. The 29 studies involved about 60,000 students over the period 1966-84. Comparison of research productivity with overall teaching effectiveness for the combined studies yielded an average $r = + 0.12$ which may be interpreted as less than 2% correlation ($r^2=0.014$ or 1.4%) between the two variables.

45. Nannerl O. Keohane, "The Mission of the Research University," *Daedalus*, 122, 101-125, 1993, p. 103.

*can be pursued simply because they captivate or deeply interest someone. But they must also become places to which local citizens and local institutions of all kinds from school systems to public television stations to urban renewal authorities can look for help with reasonable expectation that they will find assistance and collaboration.*⁴⁶

A case for synergism among all three functions is made by Sheldon Hackney, President of the University of Pennsylvania commenting on a community schools project:

*When we connect the triad of research, teaching, and service, wonderful, unanticipated, new ideas are likely to emerge.*⁴⁷

The need to integrate service projects with teaching and research for a wide range of disciplines and to more meaningfully include them in the faculty reward system is outlined by Charles McCallum⁴⁸, University of Alabama at Birmingham.

A somewhat harsher view of the matter was taken by Massy and colleagues in their analysis of academic productivity where they lump professional activities in with research as winners in the working of the "academic ratchet"⁴⁹ and more recently:

*Our second observation concerns the functioning of the "academic ratchet" whereby individual faculty members increase their discretionary time (time for pursuing professional and personal goals) largely by loosening their institutional ties and responsibilities. Our proposition is that as faculty place greater value on discretionary time, undergraduate teaching is accorded less importance.*⁵⁰

The role of consulting/community service, and more generally of universities' responses to the assessment exercise in the United Kingdom, is discussed by Maurice Kogan, Brunel University:

*Research or disciplined enquiry must not only add to or clarify knowledge but also be capable of becoming distributed wisdom. It entails the function for universities of disseminating and testing knowledge through work with clients and networks in the world of practice.*⁵¹

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46. Ellen Condliffe Lagemann, "Universities and Urban Life," Teachers College Record, 95, 1994, p. 309.
47. Sheldon Hackney, "Reinventing the American University: Toward a University System for the Twenty-First Century," Teachers College Record, 95, 311-323, 1994. Hackney is Chair, National Endowment for the Humanities, Washington, D.C.
48. Charles A. McCallum, "The Bottom Line: Broadening the Faculty Reward System," Teachers College Record, 95, 1994, p. 332.
49. Massy and Wilger, op. cit., p. 368.
50. William F. Massy and Robert Zemsky, "Faculty Discretionary Time: Departments and the 'Academic Ratchet,'" Journal of Higher Education, 65, 1994, p. 2. Zemsky is Professor of Education and Director, Institute for Research on Higher Education at the University of Pennsylvania.
51. Maurice Kogan, "Assessment and Productive Research," Higher Education Quarterly, 48, 1994, p. 63.

*This should mean that the knowledge industry should use its university teachers, partly to create new knowledge, but also to ensure that what we have is well tested, re-ordered and constantly exploited. This will take place in part through teaching, but also in preparing texts for wider use, in invading the publications of one's own subject area and also the more popular press, and in building networks with practitioners.*⁵²

Kogan goes on to suggest planning specifics for university department heads wishing to maximize the contributions of faculty members using available resources. This analysis appears to view community service as an important and often neglected third activity which could support and enhance the teaching and research work of many academics and thereby their departments.

Carol Boyer and Darrell Lewis⁵³, University of Minnesota, situate a number of questions about outside faculty consulting within a framework of traditions, costs and benefits, and empirical evidence of its extent. Consulting is defined broadly to include *the extension and application of an individual's professional or scholarly expertise outside the academic institution* to incorporate the breadth generally assumed within "public service" on the part of individual faculty members or the institution.

For Boyer and Lewis the benefits of consulting to the individual and to the institution may include financial and reputational as well as intellectual benefits, and provide important refreshment of ideas for teaching and research. In certain fields (e.g. medicine, some branches of engineering) financial rewards may be large enough to play a major role in faculty retention. For the broader society, consulting is a cost-effective mechanism by which the talents and expertise of faculty may be called on as needed.

The negative side of the picture may include perceived neglect of students and other responsibilities, inappropriate use of paid university time and/or resources to generate personal income, and such ethical issues as the improper attribution of intellectual property rights. These issues, and the lessons drawn in the aftermath of Concordia University's tragic experience, form the basis of recent Canadian reports.⁵⁴

Finally, a review of earlier studies of the extent of faculty consulting along with 1981 data, leads Boyer and Lewis to estimate that between 12-21 per cent of faculty (depending on discipline) engage in consulting during the academic term, that these numbers are not growing, and that supplemental income from consulting (14 per cent of base salary) is not large enough to distort faculty priorities. Most relevant to the present paper:

*...our analysis supports and extends previous studies which showed that consulting faculty...are at least as active in their faculty roles on campus as their nonconsulting colleagues.*⁵⁵

52. *Ibid.*, p. 64.

53. Carol M. Boyer and Darrell R. Lewis, "Maintaining Faculty Vitality Through Outside Professional Consulting," in Shirley M. Clark and Darrell R. Lewis, editors, *Faculty Vitality and Institutional Productivity*, Teachers College Press, New York, 1985. Boyer is Professor of Educational Psychology and Lewis is Associate Dean, College of Education, University of Minnesota.

54. These include: 1) Harry W. Arthurs, Roger A. Blais and Jon Thompson, *Integrity in Scholarship, A Report to Concordia University by the Independent Committee of Inquiry into Academic and Scientific Integrity*, April 1994; 2) John Scott Cowan, *Lessons from the Fabrikant File: A Report to the Board of Governors of Concordia University*, May, 1994; and 3) Philip C. Levi, *Concordia University Special Audit Report on Specific Accounts of the Faculty of Engineering and Computer Science*, July 1994.

55. Boyer and Lewis, *op. cit.*, p. 196.

The University of Toronto 1994 White Paper argued that:

It is necessary to recognize as well the contribution that those professors who engage in creative activity in their areas of professional expertise can make by reflecting this professional activity in their teaching. In professional faculties, and in other areas of the University, our policies recognize that truly creative professional activity can be as significant to the mission of the University as is research and scholarship defined in more academic terms.⁵⁶

In the area of consulting/community service the problems of appropriate definitions and differences among academic fields are acute. The goals of activities grouped under this heading range from support of teaching and/or research, through personal development, to the supplementing of income and the generation of commercial return. For fields such as Social Work, research overlaps with professional practice, and practice with teaching. Financial rewards for this essential activity may be limited. Engineering, which also has a tight connection among research, teaching and practice, is more likely to allow for paid consulting to accompany professional practice.

The lack of empirical evidence on interactions of research and teaching with consulting/community service may mean that in the short-run there will be no convergence of views. At its roots, discussion of the place of consulting/community service in the university is a discussion about institutional mission and the ends of university education. While resolution of this question through empirical study of cognitive or affective outcomes for students, or outcomes for faculty and institutions, may be difficult, the fourfold view of scholarship to be outlined in the next section may provide a useful framework for the discussion.

5.0 Conclusions

No empirical support is found for the view that a necessary link, tight coupling or "nexus" exists between undergraduate teaching and discovery research in the university. Twenty-nine studies completed prior to 1987 and four more recent studies lead to the broad conclusion that there is little functional interaction between undergraduate teaching and discovery research. Indeed, Patrick Terenzini, Pennsylvania State University, and Ernest Pascarella, University of Illinois, whose massive work covers twenty years of research on the college experience, suggest in a recent brief paper that the belief that good teachers are good researchers is one of five myths in higher education.⁵⁷

For Eugene Rice⁵⁸, who is credited by some as the initiator of the call for a redefinition of scholarship, it is time to revise the terms of this debate by restoring the definition of scholarship to include not only discovery research but also teaching, practice, and integration of knowledge.

56. Sedra and Tuohy, op. cit., p. S5.

57. Patrick T. Terenzini and Ernest T. Pascarella, "Living with Myths. Undergraduate Education in America," Change, 28-32, January/February 1994. Based on Patrick T. Terenzini and Ernest T. Pascarella, How College Affects Students: Findings and Insights from Twenty Years of Research, Jossey-Bass, San Francisco, 1991. Terenzini is Professor, Senior Scientist, and Associate Director, National Center on Postsecondary Teaching, Learning and Assessment in the Center for the Study of Higher Education at the Pennsylvania State University. Pascarella is University of Illinois Foundation James T. Towey Scholar and Professor of Policy Studies at the National Center on Postsecondary Teaching, Learning, and Assessment in the College of Education at the University of Illinois-Chicago.

58. Rice, op. cit.

In this four-fold formulation of scholarship, also advocated by Daly, Boyer, Lynton and Elman⁵⁹ among others, the scholarship of discovery enjoys a major, but not dominant, role. The other three components are seen as mutually supportive and valued contributors to the overall structure of scholarship. According to its advocates, adoption of this model would restore meaning to the "teacher-scholar" model and give due place to university activities which have been downgraded in the post-World War II rush to discovery research. Movement toward this new paradigm would permit university policy makers and other stakeholders to re-examine their beliefs in light of the evidence that exists on the nature of the interactions between undergraduate teaching and discovery research.

Rice⁶⁰ summarizes his view of the new orientation which higher education needs for the future thus:

The old teaching versus research debate has drawn faculty in American colleges and universities into a hopeless quagmire. We have heard all the arguments and find them tiring - minds are closed, not opened. The language and polarities used to frame the present discussion of the relationship of teaching and research need to be set aside. The time is ripe for a basic reassessment. To move beyond the current impasse we need to be willing to take a fresh approach and think more creatively about what it means to be a scholar in the contemporary context.

59. Ernest A. Lynton and Sandra E. Elman, New Priorities for the University, Jossey-Bass, San Francisco, 1987. Lynton is Commonwealth Professor and Senior Associate of the John W. McCormack Institute of Public Affairs at the University of Massachusetts at Boston, as well as Lecturer at the Harvard Graduate School of Education. Elman is Senior Associate of the John W. McCormack Institute of Public Affairs at the University of Massachusetts at Boston.

60. Rice, op. cit.

Appendix: Seven Selected Propositions Tested Empirically⁶¹

1. Being productive in research helps teachers not only to keep abreast in their field and gain understanding of the subject matter they teach but also to increase their intellectual vitality and involvement.

Dimension 3, Knowledge of Subject, average $r = +.21$ ($p < .001$).
Dimension 4, Intellectual Expansiveness, average $r = +.15$ ($p = .020$).
2. Research productivity fosters a teacher's own intellectual self-discipline, which may manifest itself in better organization of the course and of classroom lectures as well as in clearer explanations of course material all of which gives students a clearer understanding of where the course is headed and what is expected of them.

Dimension 5, Preparation and Organization, average $r = +.19$ ($p < .001$).
Dimension 6, Clarity and Understandableness, average $r = +.11$ ($p < .001$).
Dimension 9, Clarity of Course Objectives and Requirements, average $r = +.18$ ($p < .002$).
3. Teachers who are productive in research, by thus challenging themselves, in turn expect more of students and challenge them intellectually.

Dimension 17, Encouragement of Independent Thought; Intellectual Challenge, average $r = +.09$ ($p = -.003$).
4. Teachers who are themselves productive scholars and researchers are more likely to cultivate certain outcomes in students - namely an ability to reason critically and independently and an enthusiasm for scholarship, systematic inquiry, and research.

Dimension 12, Perceived Outcome and Impact, average $r = +.10$ ($p = .011$).
5. Research productivity, by increasing the teacher's own learning, involvement, and sense of excitement, helps make the teacher more stimulating and interesting to students.

Dimension 1, Stimulation of Interest, average $r = +.08$ ($p = .045$).
6. Being productive in research leads to teachers introducing more relevant material into the classroom.

Dimension 10, Value of Course Material, average $r = +.06$ ($p = .039$).
Dimension 11, Usefulness of Supplementary Material, average $r = +.08$ ($p = .016$).
7. Being productive in research stimulates the teacher's own interest and involvement in the subject matter of the course as well as his or her enthusiasm for teaching.

Dimension 2, Enthusiasm, average $r = +.09$ ($p = .129$).

61. These seven propositions showed the highest positive correlation with the dimensions of teaching effectiveness listed. Feldman, 1987, *op. cit.*, pp. 250-251. The r values of $+0.06$ to $+0.21$, after squaring, may be interpreted as showing between 0.36% and 4.41% of agreement between the proposition and the dimension identified or that 0.36-4.41% of the variance in one is "explained" by the other.

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**An Analysis of the Costs of Teaching,
Research and Community Service:
An Estimation Model for
the Ontario University System**

August 1994

1.0 Introduction

This paper is one of a number of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system for universities in Ontario. In seeking advice on the funding of the Ontario university system, the Minister of Education and Training (MET), in the Resource Allocation Reference to the Ontario Council on University Affairs (OCUA), asked OCUA to examine the balance among teaching, research and community service at Ontario universities. The purpose of this paper is to set out a model to attribute existing financial information on expenses and revenues in the Ontario university system to the university functions of teaching, research and community service.

Financial information is published annually on Ontario universities' expenses and revenues. Revenues are categorized by source and fund (operating, ancillary, sponsored research, capital and trust and endowment) and expenses by object and fund. No formal financial information exists on Ontario university expenses and revenues as they specifically relate to the functions of teaching, research and community service (see Table 1 for definitions of these functions used for the purpose of this paper). In the absence of such information, this paper develops a model, with two basic components, to categorize the published costs and revenues by function. This will assist in examining the balance among the functions as requested by the Minister.

In 1992-93, Ontario universities received \$4,099 million in expendable revenues and spent \$3,990 million.¹ Included in the 1992-93 revenues is a block operating grant amount, estimated at \$1,975 million, which was provided to the university system by the Ontario Government.² This amount supports all three functions, leaving each institution in the university system to set its own balance among them.

Answers to three basic questions are sought in this paper:

- **How much of \$3,990 million was spent in 1992-93 on each of the three primary functions: teaching, research and community service?**
- **What were the sources of funding for these three functions?**
- **How did the Ontario government block grant funding, in the amount of \$1,975 million for 1992-93, fit into the funding of the three functions?**

The answer to the third question in particular provides the link between this paper and OCUA's funding review.

The cost component of the model estimates the cost of teaching, research and community service in the Ontario university system. The revenue component of the model assesses the income directed to each of the primary functions. By comparing the model's cost and revenue components, an estimate can be made of the division of the Ontario government's block grant funding to universities among the three primary functions.

1. Council of Finance Officers, Universities of Ontario, Financial Report of Ontario Universities 1992-93, Volume I - Universities, Council of Ontario Universities, December, 1993.

The analysis **excludes** the COFO-UO financial report information on capital fund activity. Capital spending is quite variable from year to year and space utilization is not a matter within the scope of the present work. In 1992-93 the capital fund spending within the system was approximately 3% of the university expenses.

2. In addition to the \$1,975 million block grant amount that was provided to universities through the Ministry of Education and Training (MET), the Ontario government, through MET and other ministries, provided universities with an additional \$210 million in tied or directed grants and contracts for specific purposes (excluding capital grants of \$84 million).

Table 1
Functions of a University

Primary Functions:

Teaching: The delivery of academic programs leading to degrees or diplomas at all levels. Includes the design, revision, administration and delivery of instruction, and the evaluation and counselling of students.

Research: The search for new knowledge and/or deeper understanding through both empirical and intellectual inquiry which could be pure or applied. The conceptualization of questions, the preparation of proposals, the implementation of programs, and the communication of results. In the fine and performing arts, a model focusing on creativity is more germane.

Community Service: Talent and expertise (both paid and unpaid) made available to the external community through the provision of non-credit continuing education, contract research, consultative advice, adjudications, consultations, evaluations, service on commissions, advice to advocacy groups, arbitrations, and commissioned works of art. Community service also includes service to a discipline -- professional associations, committees of research and external review committees.

Secondary Function:

Support/Administration: This includes governance, administration and other support, as well as activities or expenditures which cannot be otherwise classified.

Table 1 sets out, and this paper uses, the traditional view of the functions of a university. For a discussion of the traditional view and another view of the nature of faculty work in a university see the Task Force's background paper on the structure of academic work.

2.0 Background on the Research and Financial Information Available

2.1 The Research

The separation of the functions of teaching, research and community service into discrete activities presents some theoretical as well as some practical problems. These arise because:

- 1) some university outcomes are the "joint products" of two or three of the functions; and
- 2) little formal documentation exists with respect to how faculty and staff distribute their time among the functions or how other university expenses are apportioned.

Nevertheless, these are matters which have been subject to some study and, to the extent it can, the model draws from such studies (and from informed judgment) in estimating the allocation of costs.

The model also draws conceptually on a number of other sources, using a methodology not unlike that used previously by others - the Association of Universities and Colleges of Canada (AUCC),³ the Canadian Association of University Business Officers (CAUBO)⁴ and Statistics Canada⁵ - for examining the cost of research.

The AUCC study focused on the operating costs of universities. The work undertaken by CAUBO⁶ and Statistics Canada⁷ provide a perspective on research costs. This paper includes all expendable funds except capital funds. This approach was chosen because it was thought that an estimate of the current balance in the university system could be seen only if the whole picture was taken into consideration. While the ancillary, sponsored research and trust funds are small in comparison to the operating fund, these funds do contribute to the universities' mission to teach, research and serve the community. In this paper, credit and non-credit instruction are combined in the operating fund on both the cost and revenue sides.

2.2 Existing Data

The model uses as its starting point financial reports for universities in Ontario. The financial reports are produced annually by the Council of Financial Officers of the Universities of Ontario (COFO-UO). The data here are taken from the most recent report produced in 1993 for the 1992-93 fiscal year.⁸ The COFO-UO financial report sets out Ontario Government operating grants. This information was supplemented by more detail on these grants obtained directly from the Ministry of Education and Training (MET). Table 2 details how the Ontario government block operating grant amount for 1992-93 was determined.

While the most recent COFO-UO financial report is for 1992-93, it should be noted that total MET operating grants of \$2,009 million for 1992-93 declined 6% to \$1,887 million for 1993-94 and the preliminary total for 1994-95 is \$1,833 million (excluding Pay Equity Funding).

Universities use fund accounting to track their financial activity. Each fund has a specific purpose and expenditures within each fund are governed by different rules. The COFO-UO data

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3. During the late 1960s, the Association of Universities and Colleges of Canada (AUCC), in cooperation with the Canadian Association of University Business Officers (CAUBO) and Canadian Association of University Teachers (CAUT) launched a national study of university costs in Canada. The results of the study were published in An Exploratory Cost Analysis of Some Canadian Universities, Ottawa, 1970.
 4. Canadian Association of Business Officers (CAUBO), Report of the Study on the Costs of University Research, August, 1982. CAUBO estimated the direct and indirect costs of research. They calculated a "research overhead factor" to propose to the federal government for federal research contracts. In their work, they sampled research intensive universities across Canada to determine budget items related to research, paying particular attention to faculty workload estimates by academic field.
 5. Statistics Canada, Estimation of Research and Development Expenditures in the Higher Education Sector, 1990-91, August, 1992, Ref. ST-92-03. Statistics Canada estimates annually the internal financial contribution made by universities to all research and development activity across Canada. Their method uses different weights by faculty headcount, by field, and by institution type to estimate the salary and other costs of research "paid for" by university operating budgets in Canada. Statistics Canada assumes that universities make a significant contribution with non-government sourced money towards an often quoted number; "the percentage of the Canadian GNP spent on research in Canada".
 6. CAUBO, op. cit.
 7. Statistics Canada, op. cit.
 8. COFO-UO, op. cit.

reflect university practice and this paper deals with the revenue and expenditure attributable to four separate expendable funds (see Table 3). This fund representation is further broken down by the "object" of expense, such as salaries and wages, equipment, etc. In the case of the operating fund, the data are further broken down by area of activity, which largely parallels university organization in separating out the expenses for the academic units, the library and the other organizational parts of the university.

Table 2

Provincial Operating Grants to Ontario Universities, 1992-93
(Categorized as Block for an Analysis of the Costs of Teaching, Research and
Community Service)
(\$ millions)

		1992-93
A.	Total Operating Grants	
A1.	Total MET Operating Grants	2,009
A2.	Other Ontario Operating Grants	31
A3.	Total Ontario Operating Grants	2,040
B.	Tied Operating Grants	
B1.	Northern Mission Grants	3
B2.	International Graduate Student Differential Fee Waivers	6
B3.	Ministry Special Purpose	23
B4.	Faculty Renewal	11
B5.	Transition Assistance Funding	22
B6.	Total Tied Operating Grants	65
C.	Block Grant (A3 Minus B6)	1,975
Sources:	1. <u>COFO-UO Financial Report of Ontario Universities, 1992-93, Volume I - Universities</u> pp. 22, 24. 2. Ministry of Education and Training, Final Operating Grants, 1992-93.	
Note:	Other Ontario Operating Grants include Other (Non-Credit).	

Table 3

University System Expenses and Revenues by Fund (excluding capital)
(\$ millions)

	Expenses	Revenues
Operating Fund (including Other (Non-Credit))	\$2,765	\$2,828
Ancillary Enterprises Fund	462	454
Sponsored Research Fund	611	611
Trust Fund		
	152	206
Total of all Funds	\$3,990	\$4,099

Source: COFO-UO Financial Report of Ontario Universities, 1992-93, Volume I - Universities, p. 24.

- Notes: 1. The \$109 million excess of revenues over expenses consists of 1992-93 funds carried forward.
2. For full details on the 1992-93 revenues and expenses for all universities see the COFO-UO summary tables for the university system which are reprinted in Appendix C and Appendix D.

In the case of revenues, the COFO-UO report presents data identifying the major sources, and provides information on the amount of money generated by research grants, contracts, donations and ancillary income in each of the major funds.

3.0 Major Findings

Based on the model described in this technical paper, it is estimated that university expenditures of \$3,990 million in 1992-93 can be allocated to teaching, research and community service as follows: between \$2.0 billion and \$2.3 billion to teaching; between \$1.3 billion and \$1.6 billion to research, and approximately \$400 million to community service.

This model also estimates how much the Ontario government block grant provides to each of teaching, research and community service. The approach taken is to assign revenue from various sources to one of the three functions. Within each function, the provincial government's block grant is used to balance attributable revenue from various sources with attributed expenditure. This analysis suggests that the Ontario government, through the operating grant mechanism, spent somewhere between \$800 million and \$1.0 billion on teaching and between \$700 million and \$1.0 billion on research in Ontario universities in 1992-93.

This analysis challenges a number of conventional beliefs about the funding of Ontario universities. For example, it is usually believed that a student's tuition fees fund about one quarter of the cost of instruction. This analysis indicates that in 1992-93 it was probably closer to 35 per cent.⁹ Also, it is widely believed that the federal Government is the major provider of research funding for universities. However, taking all of its contributions into consideration, including the allocation to faculty salaries and other targeted research grants and contracts, Ontario spent between \$800 million and \$1.1 billion on research in Ontario universities in 1992-93. This compares to the federal government contribution of \$300 million which accounted for less than 20 per cent of total research costs in Ontario.

9. In 1992-93 Ontario universities collected \$641 million in credit course student tuition and miscellaneous fees. The model estimates instruction costs of \$1,761 million in 1992-93 (\$2,118 million less \$357 million in ancillary fund costs - see section 1 of Table 12). On this basis student tuition fees of \$641 million in 1992-93 accounted for approximately 36 per cent of the estimated costs of credit course instruction of \$1,761 million.

The ranges identified above are based on analysis of two extremes: a teaching intensive example and a research intensive example. However, based on the Ontario model which lies in between these two extremes, a summary of results of the model from the cost side of the analysis for Ontario is shown in Table 4 and illustrated in Figure 1. Of the \$3,990 million spent by the Ontario university system in 1992-93, about 53 per cent was spent on teaching activities, 36 per cent on research, and 11 per cent on community service.¹⁰ Figure 2 displays the distribution of university revenue by source of funding for 1992-93 and the block grant implications of the base model results presented on Table 4.

Table 4

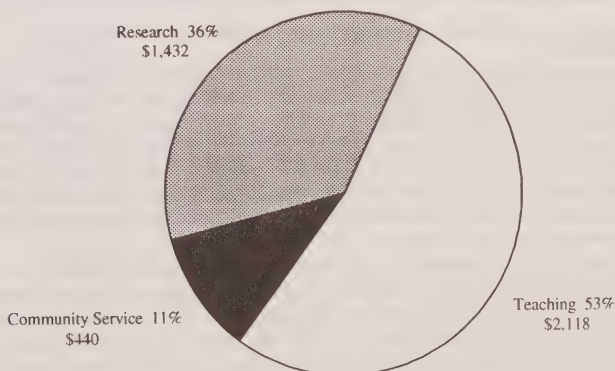
**Balance Among Teaching, Research and Community Service
Based on the Model, 1992-93, \$3,990 Million**

Teaching	2,118	(53%)
Research	1,432	(36%)
Community Service	440	(11%)
Total (excluding capital)	3,990	(100%)

Source: Table 12, Summary of Results.

Figure 1

**Balance Among Teaching, Research and Community Service
Based on the Model, 1992-93, \$3,990 Million**



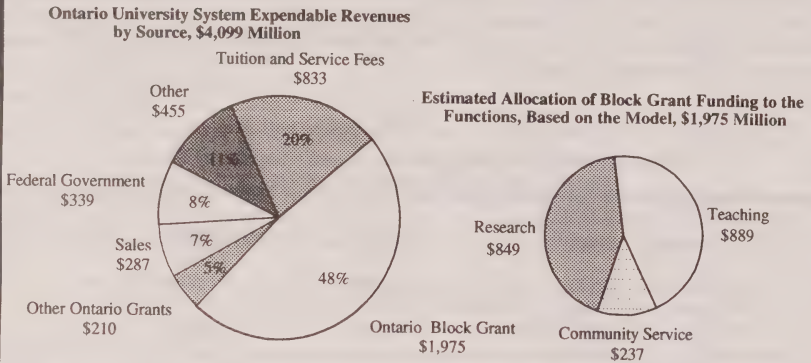
Source: Table 10.

Note: Support/Administration has been allocated to the primary functions.

10. Definitions of teaching, research and community service are set out in Table 1 of this paper.

Figure 2

**Ontario University System Revenues by Source, and
Estimated Allocation of Block Grant Funding to the Functions,
1992-93**



Sources:

1. Ontario University System Revenues are from COFO-UO Financial Report of Ontario Universities.
2. Block Grant allocation among functions is from Table 12, Section 3.

Notes:

1. Tuition and service fees include \$641 million in tuition credit and miscellaneous fees, \$38 million in Other (Non-Credit), \$126 million in residence fees and \$28 million in other fees.
2. Other includes non-government grants and contracts, investment income, donations and other revenues.
3. Capital Funds in the amount of \$136 million are excluded.

4.0 Methodology

The approach used involves a prorating of existing financial information for the Ontario university system over the defined categories of teaching, research and community service. Since no existing source of financial data identifies teaching, research, and community service, other information is used to inform this proration where possible. In building the cost and revenue components of the model as many of the identified elements of university funding as possible are assigned to some aspect of teaching, research, community service. Any residual is assigned to a support/administration category. The support/administration amounts are summed and prorated over the three primary functions in the final stage of the calculation.

Since the block grant provided by the Ontario government is, by definition, not targeted to any particular activity,¹¹ it cannot be directly allocated to any of the teaching, research, community service, or support/administration categories. Most other revenues can, however, be attributed, either by virtue of direct designation or by assignments considered reasonable through consultation or by type of revenue (for example, student fees are attributed largely to the teaching function). The attribution of the block grant is then deduced, by comparison of the expenditure in each category and the revenue which can be categorized. The balance in each category is attributed to the block grant.

The model consists of spreadsheets which enable each of the identified expenses or revenues to be divided, initially into the four different components of teaching, research, community service, and support/administration. In the case of some cells with small values, a reasonable allocation is assigned directly. In the case of the larger values, additional information

11. The only restrictions indicated in the Ontario Operating Grants Distribution Manual are that the grant not be spent on (a) assisted/sponsored research, (b) principal and interest payments on capital indebtedness, (c) student aid, (d) ancillary enterprises, and (e) capital projects.

is brought to bear. In the case of some cells, the allocation can be internally derived from the data in other cells. The method uses several spreadsheets, all containing three sections:

- Section 1: the assigned percentage section;
- Section 2: the basic data section (the dollar amounts of expenses or revenue to be distributed); and,
- Section 3: the resultant expense or revenue by category.

The results in section 3 are obtained by applying the percentages in section 1 to the basic data in section 2.

T for Teaching
R for Research
CS for Community Service
S/A for Support/Administration

The key data used in these models for expense and for revenue are shown in Table 5. This table contains five objects of expense and five sources of revenues in four different funds, which summarize all of the expense and revenue sources to the Ontario university system that are examined in this study. The block grant amount is determined by assessing information supplied by the Ministry of Education and Training on the various grant envelopes, which indicated whether the funds were restricted or unrestricted in respect of their expenditure. The basic model allocates to **T, R, CS, and S/A** each of the 33 cell values in Table 5 (excluding the cell values in the "Total Expenses" and "Total Revenues" rows and the "Total" column).

5.0 Derivation of Percentage Distributions for Basic Cost Components of the Model

The four of the most significant categories of expense in the base data (salaries for academic ranks, non-academic salaries and wages, ancillary expenses, and other [non-employment] expenses) represent almost 78 per cent of total expenses. In the case of these four categories, supplementary information is used as a basis for calculating the percentages of expense assigned to each of the **T, R, CS and S/A** categories. Descriptions of the methods used and the associated spreadsheets follow.

5.1 Academic Ranks

The allocation of \$1,015 million of faculty salaries and wages in the operating fund into three basic functions and support/administration (**T, R, CS and S/A**) is based on the allocation of faculty time. The time allocations employed here take into account three different periods of activity for the average faculty member in Ontario, and assign "average percentages" across the system without regard in this paper to discipline, institution, rank or gender (all of these characteristics have been considered by the Task Force, and are discussed in the background paper on the structure of academic work). Those time periods are characterized by the following:

- the two-thirds of a year that constitute the teaching terms for most full-time students;
- the one-third of a year between teaching terms when research and research supervision are prominent; and
- one year of fully or partially paid sabbatical leave occasionally.

Discussions with members of the university community have resulted in a decision to factor the sabbatical leave costs as 8 per cent of the faculty budget. This 8 per cent factor is less than "one year in seven", because of a number of considerations. Some faculty do not get leaves every seven or eight years, most take leaves at reduced pay, and some delay or do not get leaves

at all. Offsetting these considerations is the fact that the average nominal salary of those on leave will tend to be higher than the overall average for faculty in the province (because leaves are taken at the end of a waiting period). The percentage calculation also assumes that every faculty member takes four weeks of paid vacation every year.

Table 5

Objects of Expense and Sources of Revenue by Fund, 1992-93
(\$ millions)

	Operating	Ancillary	Sponsored Research	Trust	Total
Expenses					
Salaries and Wages					
Academic Ranks	1,015		64	16	1,095
Other Instruction and Research	142		116	9	267
Other Salaries and Wages	767	112	140	28	1,047
Employee Benefits	300	17	32	8	357
Other (Non-Employment)	<u>541</u>	<u>333</u>	<u>260</u>	<u>91</u>	<u>1,225</u>
Total Expenses	2,765	462	612	152	3,990
Revenues					
Provincial Block Grant	1,975				1,975
Other Ontario	64	5	121	20	210
Federal Government	6		324	9	339
Fees	680	153			833
Other	<u>103</u>	<u>296</u>	<u>166</u>	<u>177</u>	<u>742</u>
Total Revenues	2,828	454	611	206	4,099

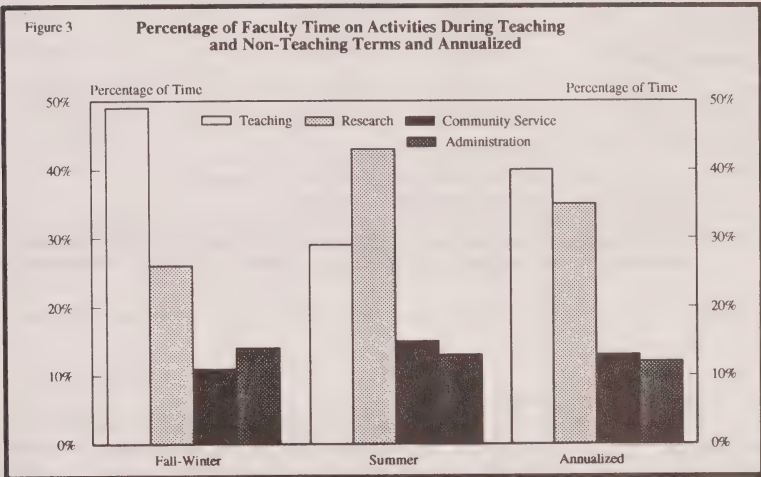
- Sources: 1. COFO-UO, Financial Report of Ontario Universities 1992-93, Volume I - Universities, December 1993, pp. 22 and 24.
2. Ministry of Education and Training, Final Operating Grants, 1992-93.

- Notes: 1. The \$109 million excess of revenues over expenses consists of 1992-93 funds carried forward as noted in Table 3.
2. Included in the Operating column are Other (Non-Credit) General Expendable Funds.
3. Values may not add due to rounding.

For the teaching terms, average time allocations were assigned based on a survey of Canadian faculty, *The Academic Profession in Canada*.¹² This survey is discussed in the companion background paper on the structure of academic work. The results are quite consistent with published data collected on faculty workloads elsewhere in North America. For the second period (i.e. the non-teaching term each year), average time allocations were assigned based on the

12. The database was obtained from the Institute for Social Research, York University. The original survey was conducted by Professor Jos. Lennards, Glendon College, York University. It gathered information on 5,217 faculty nationally of which 1,820 faculty were in Ontario (the Ontario dataset did not include faculty from Ryerson Polytechnic University because it was not a university at that time). The survey was similar in design and content to a number of the large surveys of U.S. faculty. The results of the survey have not been widely published though they were used extensively in a Quebec government report on faculty workloads in Quebec universities.

recently published results of a survey of faculty in the Province of Quebec.¹³ No Ontario data exists for the non-teaching term. The Council on University Planning and Analysis (CUPA)¹⁴ has recently provided OCUA with some current Ontario data, which is discussed in the background paper on the structure of academic work. These data confirm the 1986 survey. The time allocations used in the model are illustrated in Figure 3.



The spreadsheet used to determine the allocation of faculty costs (based on time) is shown as Table 6. A figure of 49 per cent teaching time during the teaching term period leads to an annualized percentage teaching time of 40 per cent. The percentages framed at the bottom of Table 6 are transferred to the basic cost component of the model. This determines the allocation of faculty costs to teaching, research, community service and support/administration in the Ontario university system. See Section 8.0 "Variance of Function - Costs by Faculty Workload" for a discussion of the possible range of teaching and research costs in Ontario using this model.

13. Bertrand, D., R. Foucher, R. Jacob, B. Fabi and P. Beaulieu, *Le travail professoral remesuré, unité et diversité*, Presses de l'Université du Québec, 1994.

14. The CUPA/OCGS (Ontario Council on Graduate Studies) study interviewed a number of department heads and deans to get their impressions about average workload patterns across a representative sample of departments. The study developed estimates of the total time worked by faculty and the percentage of time allocated to teaching, research and "community service" by using U.S. figures to estimate the missing service component. It focused on the teaching and research components of faculty work and did not cover external service nor all aspects of administration. The CUPA/OCGS study suggests that Ontario faculty work between 48 and 61 hours per week during a teaching term.

Table 6
Annualization of Faculty Costs by Activity

Faculty Workload by Activity During Each of Three Periods:

Activity →	Teaching	Research	Community Service	Support/ Administration
Period				
Teaching Term	49%	26%	11%	14%
Non-Teaching Term	29	43	15	13
Paid Sabbatical Leave	10	75	15	
Annualized Percentages	40	35	13	12

(Transferred to Table 10)

- Notes:
1. Teaching Term data from 1986 survey referred to in footnote 12.
 2. Non-Teaching Term data derived from Bertrand.
 3. Paid Sabbatical Leave period has been estimated.
 4. The annualized percentage for each faculty activity is derived by $(2 \times \text{Teaching Term percentage} + \text{Non-Teaching Term percentage})$ divided by $3 \times .92 + .08$ of Paid Sabbatical Leave.

5.2 Non-Faculty

5.2.1 Non-Faculty, Operating Fund

The second largest cell in the basic data is the salaries and wages of staff accounted for in the operating fund. These amount to \$767 million. This represents the salaries and wages of university staff who are not directly involved in teaching or professional research (post doctoral fellows, teaching assistants, research assistants, markers, etc. are not included.) It includes among others the maintenance staff, the secretarial staff, the registrars, the student counsellors, the computer operators, the financial clerks and senior university management. To allocate the costs of this group into T, R, CS and S/A requires some knowledge of the areas of the university in which these people work. COFO-UO provides data on the operating fund by area of activity (academic unit, library, computer centre, administration, etc.) for this group of employees, and this is the basic data used in Table 7. The percentages on the bottom of Table 7 are transferred to the Basic Cost Component of the Model (Table 10) to assign the cost of these staff members to the functions of teaching, research, community service and support/administration.

5.2.2 Non-Faculty, Ancillary Fund

Ancillary fund items are included in this study because they are important parts of university life, even though the government does not support them directly and they are considered to be self supporting. The residences, bookstores, conference centres, publishers and parking lots are just as much part of university life as the gymnasias and student lounges. As part of their 1992-93 report, COFO-UO completed a survey of the activities covered by the ancillary fund. The results of that survey serve to verify the allocations made in this paper of the component expenses of the fund to the three primary functions. The survey results are illustrated in Figure 4.

COFO-UO provides data for ancillary staff by area of activity (retail, food, residence, etc.). These data inform the allocation of these costs to the three primary functions within the basic cost side of the model. Table 8 provides the details.

Table 7

**Allocation of \$757 million* of Non-Faculty Operating Costs by Function
1992-93**

	Teaching	Research	Community Service	Support/ Administration
Section 1: Percentages Assigned				
1a. Instruction and Research	75%	20%		5%
1b. Library	50%	40%	10%	
1c. Student Service	90%		10%	
1d. Academic Computing	45%	45%	10%	
1e. Admin Computing				100%
1f. Administration				100%
1g. Plant				100%
1h. Other				100%
Section 2: Basic Expenses by Activity (\$ millions)				
2a. Instruction and Research	\$262			
2b. Library	101			
2c. Student Service	58			
2d. Academic Computing	33			
2e. Admin Computing	17			
2f. Administration	132			
2g. Plant	125			
2h. Other	29			
Total Expense	757			
Section 3: Expense by Activity by Function (Section 3 = Section 1 x 2) (\$ millions)				
3a. Instruction and Research	\$197	\$52		\$13
3b. Library	50	40	\$10	
3c. Student Service	52		6	
3d. Academic Computing	15	15	3	
3e. Admin Computing				17
3f. Administration				132
3g. Plant				125
3h. Other				29
Total Expense	314			316
Section 4: Percentage Distribution (Transferred to Table 10)	41%	14%	3%	42%

Source: Section 2 data from COFO-UO Financial Report of Ontario Universities, 1992-93.

- Notes: 1. Each data column in Section 1 is multiplied by the single data column in Section 2 to obtain the results by column in Section 3.
2. Values may not add due to rounding.

* This table totals \$757 million instead of the \$767 million found on Table 5 because \$10 million in non-credit instruction is excluded.

Table 8

**Allocation of \$119 million of Ancillary Staff Salaries and Benefits by Function
1992-93**

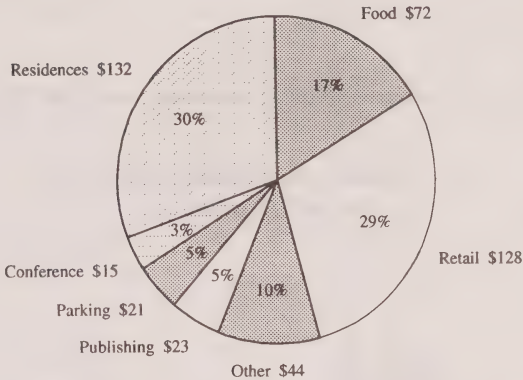
	Teaching	Research	Community Service	Support/ Administration
Section 1: Percentages Assigned				
1a. Retail	85%	5%	10%	
1b. Food	85%	5%	10%	
1c. Residence	100%			
1d. Conference		30%	70%	
1e. Parking				100%
1f. Publishing	10%	50%	40%	
1g. Other				100%
Section 2: Basic Expenses by Activity (\$ millions)				
2a. Retail	\$18			
2b. Food	24			
2c. Residence	34			
2d. Conference	5			
2e. Parking	9			
2f. Publishing	12			
2g. Other	18			
Total Expenses	119			
Section 3: Expense by Activity by Function (Section 3 = Section 1 x 2) (\$ millions)				
3a. Retail	\$15	\$1	\$2	
3b. Food	20	1	2	
3c. Residence	34			
3d. Conference		2	4	
3e. Parking				\$9
3f. Publishing	1	6	5	
3g. Other				18
Total Expenses	70	10	13	27
Section 4: Percentage Distribution (Transferred to Table 10)				
	60%	8%	11	21%

Source: Section 2 data from COFO-UO Financial Report of Ontario Universities, 1992-93, Ancillary Enterprises.

- Notes:
1. The \$119 million used in this table excludes \$10 million in ancillary staff and benefits at the affiliated and federated colleges and universities.
 2. Each data column in Section 1 is multiplied by the single data column in Section 2 to obtain the results by column in Section 3.

Figure 4

**Ancillary Expenses in Ontario Universities
1992-93, \$435 Million**



Source: COFO-UO Financial Report of Ontario Universities, 1992-93, Ancillary Enterprises.

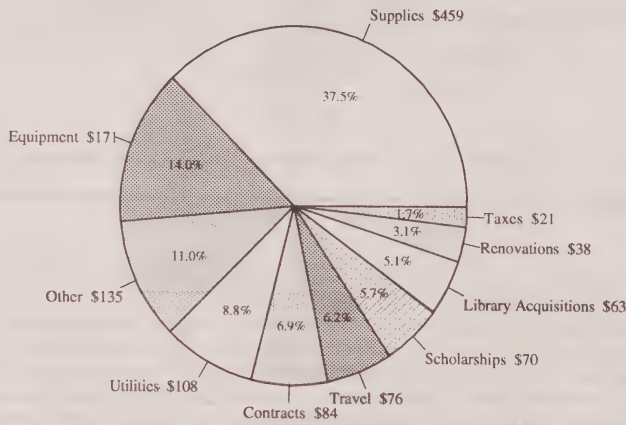
5.3 Other (Non-Employment) Expenses, All Funds

Figure 5 and Table 9 show how the \$1,225 million of other (non-employment) expenses are incurred, according to information supplied in the COFO-UO Financial Report. These categories of expense are shown in Table 9 for all funds. In Section 1 of this table, reasonable assignments are made for each type of non-employment expense. Consultations took place with librarians, research directors and purchasing managers before some assignments were made. In some cases, items are treated exclusively as support/administration (for example, taxes). In some cases, such as "equipment" or "supplies" in the operating fund and the ancillary fund, detailed information in the COFO-UO Report (not shown here) are used to estimate the allocation.

Table 9 is thought to give a reasonable assignment of these other non-employment expenses. It should be noted that most individual assignments in Section 3 of Table 9 contribute less than 1 per cent to the results (only values above \$40 million contribute 1 per cent or more). The percentages contained in the final row across the bottom of Table 10 are transferred to the basic cost component of the model.

Figure 5

**Other Non-Employment Expenses, All Funds
1992-93, \$1,225 Million**



Source: COFO-UO Financial Report of Ontario Universities, 1992-93

Table 9

Allocation of \$1,225 million of Other (Non-Employment) Expenses by Function, 1992-93

		Operating Fund						Ancillary Fund						Research Fund						Trust Fund						Total Funds					
		T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A						
Section 1: Percentages Assigned																															
1a. Library Acquisitions		50%	40%	10%	35%	70%	2%	3%	25%	20%	80%	80%	100%	50%	40%	10%		49%	42%	9%		49%	42%	9%							
1b. Equipment		55%	5%	5%	35%	80%	10%	10%	100%	10%	75%	15%	100%	65%	10%	25%		41%	30%	9%		41%	30%	9%	20%						
1c. Supplies		60%		5%	100%				100%	5%	80%	15%	100%	65%	10%	25%		54%	25%	11%		54%	25%	11%	10%						
1d. Utilities					100%				100%																100%						
1e. Taxes					100%				100%																100%						
1f. Renovations					100%				100%																100%						
1g. Contracts		30%		5%	65%	80%		5%	15%		80%	20%		50%		50%		46%	2%	1%		46%	2%	1%	50%						
1h. Scholarships		100%				80%				100%				100%				48%	10%	7%		48%	10%	7%	34%						
1i. Travel		60%		5%	35%	85%		10%	5%		80%	15%		50%		50%		31%				31%			13%						
1j. Other		50%	40%	10%		80%		20%		10%	80%	10%		75%		25%		59%	26%	15%		59%	26%	15%							
Section 2: Basic Expenses (\$ millions)																															
2a. Library Acquisitions		\$58				\$14				\$2				\$3				\$63				\$3									
2b. Equipment		87				176				61				9				171				9									
2c. Supplies		135				27				119				29				459				29									
2d. Utilities		79								2								108													
2e. Taxes		18				3												21													
2f. Renovations		19				17				1				1				38				1									
2g. Contracts		36				37				11								84													
2h. Scholarships		32								4				34				70				34									
2i. Travel		29				1				40				6				76				6									
2j. Other		49				58				19				9				135				9									
Total Expenses		542				333				259				91				1,225				91									
Section 3: Expenses by Function, Section 3 = Section 1 X 2 (\$ millions)																															
3a. Library Acquisitions		\$29	\$23	\$6	\$30	\$10			\$4	\$2				\$2	\$1			\$31	\$26	\$6		\$2	\$1								
3b. Equipment		48	4	4	47	141		18	18	46	\$9			6	1			70	51	16		6	1		\$34						
3c. Supplies		81		7	79				27	95	18				19	3		247	116	49		19	3		47						
3d. Utilities									3																108						
3e. Taxes																									21						
3f. Renovations						17				1				1				18	1	1		1									
3g. Contracts		11		2	23	30		2	6	9	2							40	9	6		40	9	6	29						
3h. Scholarships		32								4				34				70				34									
3i. Travel		17		1	10					2	32	6						23	32	10					10						
3j. Other		25	20	5		46		12		2	15	2		7				80	35	21		7									
Expense by Function		243	47	25	227	244	18	31	39	20	199	37	2	70	5	15		577	269	108		70	5	15		268					
Percentage by Function		45%	9%	5%	41%	73%	5%	9%	13%	8%	77%	14%	1%	77%	5%	17%	1%	47%	22%	9%		77%	5%	17%	1%	22%					

(Percentages in Section 3 transferred to Table 10, line 1e)

Source: Expense data from COFO-UO Financial Report of Ontario Universities, 1992-93 Volume 1 and Ancillary Enterprises.

Notes: 1. T - Teaching; R - Research; CS - Community Service; and S/A - Support/Administration.

2. Values may not add due to rounding.

3. Data in boldy framed boxes are input.

5.4 Other Items

In sections 5.1, 5.2.1, 5.2.2 and 5.3, a total of \$3,126 million of the total 1992-93 expenses of \$3,990 million are discussed. These comprise 78 per cent of total expenses, for which the percentages in the model are assigned on a fairly tangible basis. In addition, \$356 million of the \$864 million balance comprises employee benefits for which the percentages assigned are derived from the percentage assignments made to salaries and wages. The remaining \$508 million in expenses have been assigned after consultations regarding their nature.

6.0 The Model

6.1 The Cost Component

The basic cost spreadsheet can be found in Table 10. The centre section, Section 2 of this spreadsheet, is taken from the top portion of Table 5. In Section 1, the percentage assigned section, some cells are boldly framed. These are the cells which require input data, in the form of the percentages which then determine the assignment of the total funds contained in the centre section of the spreadsheet, to the **T, R, CS, and S/A** categories shown in Section 3, the "Expense by function" section. All other cells in Section 1 are either:

- non-contributing (e.g. there are no faculty costs in the ancillary fund, so no related percentages appear in section 1), or
- derived (percentages for employee benefits are derived in a simple pro rata fashion from the allocation of salary costs), or
- calculated because the percentage under the **S/A** heading is set to be 100 per cent minus the sum of the preceding three percentages, or
- result from the other assigned terms (e.g. the entries in the Total column).

Section 3 of the spreadsheet can be understood by following an example. Within the operating fund, the Section 1 percentages for academic ranks expense are 40 per cent, 35 per cent, 13 per cent and 12 per cent. These are applied to the total faculty expense in Section 2 (i.e. \$1,015 million) to result in the Section 3 totals, \$406 million, \$355 million, \$132 million and \$122 million respectively. The other rows in Section 3 are determined in a similar way from percentages in Section 1 applied to the respective expense amount in Section 2.

The lower right corner of the main expense spreadsheet, Table 10, gives the total of all the cells according to **T, R, CS, and S/A**. A total of \$826 million out of the \$3,990 million assigned in total expense was classed as support/administration in the assignments by function within the various objects of expense. On the bottom line of the spreadsheet, the \$826 is added to the other three functional costs, in proportion to their relative amounts. The **S/A** terms within each of the funds have been similarly distributed using the same proportions of 53 per cent, 36 per cent and 11 per cent. Thus the model estimates that the cost of teaching is \$2,118 million, the cost of research \$1,432 million and community service \$440 million (rounded, \$442 million in Table 10) in the Ontario university system expenditures of \$3,990 million in 1992-93. These results are illustrated in Figure 1 and Table 4.

Table 10

Basic Cost Component of the Model - Allocation of \$3,990 million of Total Expenses by Function

		Operating Fund				Ancillary Fund				Research Fund				Trust Fund				Total Funds							
		T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A	T	R	CS	S/A				
Section 1: Percentages Assigned																									
1a. Academic Ranks	40%	35%	13%	12%				100%				10%	80%	10%		40%			20%	38%			37%	13%	11%
	80%	20%						100%				10%	80%	10%		40%			20%	48%			45%	6%	1%
	41%	14%	3%	42%				21%				10%	80%	10%		41%	14%	3%	42%	39%			22%	4%	34%
	43%	26%	8%	23%				21%				10%	80%	10%		41%	7%	20%	32%	41%			30%	9%	21%
	45%	9%	5%	41%				13%				8%	77%	14%	1%	77%	5%	17%	1%	47%			22%	9%	22%
Section 2: Basic Expenses (\$ millions)																									
2a. Academic Ranks	\$1,015											\$64				\$16				\$1,095					
	142											116				9				267					
	767											140				28				1,047					
	300											32				8				357					
	541											260				91				1,225					
2f. Total Expenses	2,765											612				152				3,990					
Section 3: Expenses by Function (Section 3 = Section 1 X 2) (\$ millions)																									
3a. Academic Ranks	\$406	\$355	\$132	\$122								\$6	\$51	\$6		\$6			\$3	\$416			\$408	\$140	\$125
	114	28										12	93	12		4			2	129			121	15	2
	318	109	19	320								14	112	14		11			12	411			234	47	356
	129	78	24	69								3	26	3		3			3	146			106	31	75
	243	49	27	222								21	200	36	\$3	70	5	15	1	577			270	109	269
	1,210	619	202	733								56	482	72	3	95	9	28	20	1,681			1,137	342	826
	44%	22%	7%	27%								9%	79%	12%	0%	62%	6%	18%	13%	42%			29%	9%	21%
	1,598	880	288									57	483	72		106	16	30		2,118			1,432	442	
	58%	32%	10%									9%	79%	12%		69%	11%	20%		53%			36%	11%	

(Percentages in Section 3 are transferred from Tables 6, 7, 8 and 9)

Source: Expense data from COFO-UO Financial Report of Ontario Universities, 1992-93, Volume 1.
 Notes: 1. T - Teaching; R - Research; CS - Community Service; and S/A - Support/Administration.
 2. Values may not add due to rounding.
 3. Data in boldy framed boxes are input.

Allocation of Total 1992-93 Expense by Function:
 Expressed in percentage terms:

2,118 1,432 442
 53% 36% 11%

6.2 **The Revenue Component**

In order to determine the application of the government block grant to the **T, R, CS and A/S** functions, an estimation of other revenues attributable to these functions is first required. The total of the other revenues can then be compared to the cost estimates, and, assuming a reasonable match between revenue and expenditure, the balancing amounts are the revenue from the block grant being allocated by the universities to each function.

The revenue spreadsheet is constructed in a similar way to the main expense spreadsheet using COFO-UO data as the starting point. The revenue spreadsheet is provided as Table 11. All of the boldly framed cells require input in the form of the percentages of each item to be allocated to the primary functions. In most cases, estimates can be made as to "why was money received" based on a study of the matching expense spreadsheet and a reasonable assignment of income. For example, 5 per cent of student tuition in the operating fund was assigned to community services because of continuing education. Private research fund revenue is slightly more weighted towards contract work than is government research funding. Ancillary revenue from students is highly dominated by residence revenue while revenue from the other ancillary sources comes from bookstores, conferences and meals which researchers and the public use. Parking revenue is all support. Refinement of these estimated assignments may be made, based on input received as a result of the release of this paper.

7.0 **Block Grant Allocation**

Table 12 gives a summary of the results found in the basic cost model and in the revenue model. It presents the expenses in two different ways, by fund and function and by object and function, and shows the system revenue by source and function.

The expenditures on each of the functions of teaching, research, and community service can be expressed as percentages of either the total fund under which the expense is normally accounted for, or as a percentage of the total cost of the individual function. For example, within the operating fund, 58 per cent of the expenses are related to the teaching function. In the sponsored research fund, only 9 per cent of the expenses are related to the teaching function. Reading in the other direction, 61 per cent of the cost of university research comes from the operating fund (mainly due to salaries in that fund) while 34 per cent comes from the sponsored research fund.

Table 11

Basic Revenue Component of the Model - Allocation of \$4,099 million of Total Revenues by Function																					
Operating Fund					Ancillary Fund					Research Fund					Trust Fund				Total Funds		
	T	R	S/A		T	R	CS	S/A		T	R	CS	S/A		T	R	CS	S/A			
Section 1: Percentages Assigned																					
1a. Ontario Block Grant	45%	43%	12%												45%	43%	12%				
1b. Ontario Tied Grants	50%	40%	10%												26%	58%	14%	2%			
1c. Federal Grants	90%	5%	5%												13%	77%	11%				
1d. Fees	95%		5%												96%		4%				
1e. Other Income	60%	10%	10%	20%											53%	27%	15%	5%			
Section 2: Basic Revenues																					
2a. Ontario Block Grant	1975														\$1,975						
2b. Ontario Tied Grants	64				\$5					\$121					210						
2c. Federal Grants	6									324					339						
2d. Fees	680				153										833						
2e. Other Income	103				296					166					742						
2f. Total Revenues	2,828				454					611					4,099						
Section 3: Revenues by Function (Section 3 = Section 1 X 2)																					
3a. Ontario Block Grant	\$889	\$849	\$237												\$889	\$849	\$237				
3b. Ontario Tied Grants	32	26	6		\$5					\$12	\$97	\$12			\$10						
3c. Federal Grants	5				0					32	259	32			5						
3d. Fees	646		34		\$153										799		34				
3e. Other Income	62	10	10	\$21	192	\$41	\$47			13	125	28			124	\$27	27	35			
3f. Income by activity	1,634	885	288	21	345	41	47			58	481	73			138	27	41	40			
3g. Percentage by activity	58%	31%	10%	1%	76%	9%	10%			9%	79%	12%	0%		67%	13%	20%	1%			
3h. Prorated Revenues	1,645	892	290		356	48	50			58	481	73			138	27	41				
3i. Percentage by activity	58%	32%	10%		78%	11%	11%			9%	79%	12%			67%	13%	20%				
Allocation of Total 1992-93 Revenues by Function:															2,197	1,448	453				
Expressed in percentage terms:															54%	35%	11%				

Section 4: Model Revenues and Expense Summary

	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	2101	2102	2103	2104	2105	2106	2107	2108	2109	2110	2111	2112	2113	2114	2115	2116	2117	2118	2119	2120	2121	2122	2123	2124	2125	2126	2127	2128	2129	2130	2131	2132	2133	2134	2135	2136	2137	2138	2139	2140	2141	2142	2143	2144	2145	2146	2147	2148	2149	2150	2151	2152	2153	2154	2155	2156	2157	2158	2159	2160	2161	2162	2163	2164	2165	2166	2167	2168	2169	2170	2171	2172	2173	2174	2175	2176	2177	2178	2179	2180	2181	2182	2183	2184	2185	2186	2187	2188	2189	2190	2191	2192	2193	2194	2195	2196	2197	2198	2199	2200	2201	2202	2203	2204	2205	2206	2207	2208	2209	2210	2211	2212	2213	2214	2215	2216	2217	2218	2219	2220	2221	2222	2223	2224	2225	2226	2227	2228	2229	2230	2231	2232	2233	2234	2235	2236	2237	2238	2239	2240	2241	2242	2243	2244	2245	2246	2247	2248	2249	2250	2251	2252	2253	2254	2255	2256	2257	2258	2259	2260	2261	2262	2263	2264	2265	2266	2267	2268	2269	2270	2271	2272	2273	2274	2275	2276	2277	2278	2279	2280	2281	2282	2283	2284	2285	2286	2287	2288	2289	2290	2291	2292	2293	2294	2295	2296	2297	2298	2299	2300	2301	2302	2303	2304	2305	2306	2307	2308	2309	2310	2311	2312	2313	2314	2315	2316	2317	2318	2319	2320	2321	2322	2323	2324	2325	2326	2327	2328	2329	2330	2331	2332	2333	2334	2335	2336	2337	2338	2339	2340	2341	2342	2343	2344	2345	2346	2347	2348	2349	2350	2351	2352	2353	2354	2355	2356	2357	2358	2359	2360	2361	2362	2363	2364	2365	2366	2367	2368	2369	2370	2371	2372	2373	2374	2375	2376	2377	2378	2379	2380	2381	2382	2383	2384	2385	2386	2387	2388	2389	2390	2391	2392	2393	2394	2395	2396	2397	2398	2399	2400	2401	2402	2403	2404	2405	2406	2407	2408	2409	2410	2411	2412	2413	2414	2415	2416	2417	2418	2419	2420	2421	2422	2423	2424	2425	2426	2427	2428	2429	2430	2431	2432	2433	2434	2435	2436	2437	2438	2439	2440	2441	2442	2443	2444	2445	2446	2447	2448	2449	2450	2451	2452	2453	2454	2455	2456	2457	2458	2459	2460	2461	2462	2463	2464	2465	2466	2467	2468	2469	2470	2471	2472	2473	2474	2475	2476	2477	2478	2479	2480	2481	2482	2483	2484	2485	2486	2487	2488	2489	2490	2491	2492	2493	2494	2495	2496	2497	2498	2499	2500	2501	2502	2503	2504	2505	2506	2507	2508	2509	2510	2511	2512	2513	2514	2515	2516	2517	2518	2519	2520	2521	2522	2523	2524	2525	2526	2527	2528	2529	2530	2531	2532	2533	2534	2535	2536	2537	2538	2539	2540	2541	2542	2543	2544	2545	2546	2547	2548	2549	2550	2551	2552	2553	2554	2555	2556	2557	2558	2559	2560	2561	2562	2563	2564	2565	2566	2567	2568	2569	2570	2571	2572	2573	2574	2575	2576	2577	2578	2579	2580	2581	2582	2583	2584	2585	2586	2587	2588	2589	2590	2591	2592	2593	2594	2595	2596	2597	2598	2599	2600	2601	2602	2603	2604	2605	2606	2607	2608	2609	2610	2611	2612	2613	2614	2615	2616	2617	2618	2619	2620	2621	2622	2623	2624	2625	2626	2627	2628	2629	2630	2631	2632	2633	2634	2635	2636	2637	2638	2639	2640	2641	2642	2643	2644	2645	2646	2647	2648	2649	2650	2651	2652	2653	2654	2655	2656	2657	2658	2659	2660	2661	2662	2663	2664	2665	2666	2667	2668	2669	2670	2671	2672	2673	2674	2675	2676	2677	2678	2679	2680	2681	2682	2683	2684	2685	2686	2687	2688	2689	2690	2691	2692	2693	2694	2695	2696	2697	2698	2699	2700	2701	2702	2703	2704	2705	2706	2707	2708	2709	2710	2711	2712	2713	2714	2715	2716	2717	2718	2719	2720	2721	2722	2723	2724	2725	2726	2727	2728	2729	2730	2731	2732	2733	2734	2735	2736	2737	2738	2739	2740	2741	2742	2743	2744	2745	2746	2747	2748	2749	2750	2751	2752	2753	2754	2755	2756	2757	2758	2759	2760	2761	2762	2763	2764	2765	2766	2767	2768	2769	2770	2771	2772	2773	2774	2775	2776	2777	2778	2779	2780	2781	2782	2783	2784	2785	2786	2787	2788	2789	2790	2791	2792	2793	2794	2795	2796	2797	2798	2799	2800	2801	2802	2803	2804	2805	2806	2807	2808	2809	2810	2811	2812	2813	2814	2815	2816	2817	2818	2819	2820	2821	2822	2823	2824	2825	2826	2827	2828	2829	2830	2831	2832	2833	2834	2835	2836	2837	2838	2839	2840	2841	2842	2843	2844	2845	2846	2847	2848	2849	2850	2851	2852	2853	2854	2855	2856	2857	2858	2859	2860	2861	2862	2863	2864	2865	2866	2867	2868	2869	2870	2871	2872	2873	2874	2875	2876	2877	2878	2879	2880	2881	2882	2883	2884	2885	2886	2887	2888	2889	2890	2891	2892	2893	2894	2895	2896	2897	2898	2899	2900	2901	2902	2903	2904	2905	2906	2907	2908	2909	2910	2911	2912	2913	2914	2915	2916	2917	2918	2919	2920	2921	2922	2923	2924	2925	2926	2927	2928	2929	2930	2931	2932	2933	2934	2935	2936	2937	2938	2939	2940	2941	2942	2943	2944	2945	2946	2947	2948	2949	2950	2951	2952	2953	2954	2955	2956	2957	2958	2959	2960	2961	2962	2963	2964	2965	2966	2967	2968	2969	2970	2971	2972	2973	2974	2975	2976	2977	2978	2979	2980	2981	2982	2983	2984	2985	2986	2987	2988	2989	2990	2991	2992	2993	2994	2995	2996	2997	2998	2999	3000	3001	3002	3003	3004	3005	3006	3007	3008	3009	3010	3011	3012	3013	3014	3015	3016	3017	3018	3019	3020	3021	3022	3023	3024	3025	3026	3027	3028	3029	3030	3031	3032	3033	3034	3035	3036	3037	3038	3039	3040	3041	3042	3043	3044	3045	3046	3047	3048	3049	3050	3051	3052	3053	3054	3055	3056	3057	3058	3059	3060	3061	3062	3063	3064	3065	3066	3067	3068	3069	3070	3071	3072	3073	3074	3075	3076	3077	3078	3079	3080	3081	3082	3083	3084	3085	3086	3087	3088	3089	3090	3091	3092	3093	3094	3095	3096	3097	3098	3099	3100	3101	3102	3103	3104	3105	3106	3107	3108	3109	3110	3111	3112	3113	3114	3115	3116	3117	3118	3119	3120	3121	3122	3123	3124	3125	3126	3127	3128	3129	3130	3131	3132	3133	3134	3135	3136	3137	3138	3139	3140	3141	3142	3143	3144	3145	3146	3147	3148	3149	3150	3151	3152	3153	3154	3155	3156	3157	3158	3159	3160	3161	3162	3163	3164	3165	3166	3167	3168	3169	3170	3171	3172	3173	3174	3175	3176	3177	3178	3179	3180	3181	3182	3183	3184	3185	3186	3187	3188	3189	3190	3191	3192	3193	3194	3195	3196	3197	3198	3199	3200	3201	3202	3203	3204	3205	3206	3207	3208	3209	3210	3211	3212	3213	3214	3215	3216	3217	3218	3219	3220	3221	3222	3223	3224	3225	3226	3227	3228	3229	3230	3231	3232	3233	3234	3235	3236	3237	3238	3239	3240	3241	3242	3243	3244	3245	3246	3247	3248	3249	3250	3251	3252	3253	3254	3255	3256	3257	3258	3259	3260	3261	3262	3263	3264	3265	3266	3267	3268	3269	3270	3271	3272	3273	3274	3275	3276	3277	3278	3279	3280	3281	3282	3283	3284	3285	3286	3287	3288	3289	3290	3291	3292	3293	3294	3295	3296	3297	3298	3299	3300	3301	3302	3303	3304	3305	3306	3307	3308	3309	3310	3311	3312	3313	3314	3315	3316	3317	3318	3319	3320	3321	3322	3323	3324	3325	3326	3327	3328	3329	3330	3331	3332	3333	3334	3335	3336	3337	3338	3339	3340	3341	3342	3343	3344	3345	3346	3347	3348	3349	3350	3351	3352	3353	3354	3355	3356	3357	3358	3359	3360	3361	3362	3363	3364
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Sources: 1. COFO-UO Financial Report of Ontario Universities, 1992-93.

2. Ministry of Education and Training Final Operating Grants for 1992-93.

Notes: 1. T - Teaching; R - Research; CS - Community Service; and S/A - Support/Administration.

2. In line 3h, "Prorated Revenues" the Support/Administration function has been prorated back to Teaching, Research and Community Service.

3. After all other data are in place in this spreadsheet, the shaded percentages in 1a. are iteratively adjusted to balance for 4c. in the operating fund only.

4. Data in **boldly framed boxes** are input.

Table 12

Summary of Model Results

Section 1: Allocation of Expenses by Function and Fund
(\$ millions)

Funds	Function							
	T	R	CS	Total	T	R	CS	Total
Operating Fund	1,598	880	288	2,765	75%	61%	65%	69%
Ancillary Fund	357	53	52	462	17%	4%	12%	12%
Sponsored Research Fund	57	483	72	612	3%	34%	16%	15%
Trust Fund	106	16	30	152	5%	1%	7%	4%
Total Expenses all Funds	2,118	1,432	442	3,991	100%	100%	100%	100%
Operating Fund	58%	32%	10%	100%				
Ancillary Fund	77%	11%	11%	100%				
Sponsored Research Fund	9%	79%	12%	100%				
Trust Fund	69%	11%	20%	100%				
Total Expenses all Funds	53%	36%	11%	100%				

Section 2: Allocation of Expenses by Function and Object
(\$ millions)

Object of Expense	Function							
	T	R	CS	Total	T	R	CS	Total
Faculty	709	653	200	1,562	34%	46%	45%	39%
Staff	688	413	103	1,204	33%	29%	23%	30%
Other Expenses	720	366	139	1,255	34%	26%	31%	31%
Total Expenses by Object	2,118	1,432	442	3,991	100%	100%	100%	100%
Faculty	45%	42%	13%	100%				
Staff	57%	34%	9%	100%				
Other Expenses	59%	30%	11%	100%				
Total Expenses by Object	53%	36%	11%	100%				

Section 3: Allocation of Revenues by Function and Source
(\$ millions)

Source	Function							
	T	R	CS	Total	T	R	CS	Total
Ontario Block Grant	889	849	237	1,975	40%	59%	52%	48%
Ontario Tied Grants	57	124	29	210	3%	9%	6%	5%
Federal Grants & Contracts	43	260	37	340	2%	18%	8%	8%
Student Tuition and Service Fees	798		34	832	36%		7%	20%
Other	410	215	116	742	19%	15%	26%	18%
Total	2,197	1,449	454	4,099	100%	100%	100%	100%
Ontario Block Grant	45%	43%	12%	100%				
Ontario Tied Grants	27%	59%	14%	100%				
Federal Grants & Contracts	13%	76%	11%	100%				
Student Tuition and Service Fees	96%		4%	100%				
Other	55%	29%	16%	100%				
Total	54%	35%	11%	100%				

- Notes: 1. Total expenses and revenues are from COFO-UO Financial Report of Ontario Universities, 1992-93, Volume 1.
2. Support/Administration is allocated to the three functions of teaching, research and community service.
3. Faculty includes Academic Ranks and Other Instruction and Research.
4. In Section 2, benefits are included in faculty and staff expenses.
5. Values may not add due to rounding.
6. T - teaching; R - Research; CS - Community Service.

The revenue summary can be read in a similar manner. Student tuition and service fees of all types contribute 36 per cent of the revenue of the teaching function. The research function receives 76 per cent of federal payments, and the Ontario block grant provides almost equal support to teaching and research. One surprising result of this model is that the federal support, at 18 per cent, represents such a small percentage of the total income for the research function. Illustrations of the sources of revenue for teaching, research, and community service are contained in Figures 6, 7 and 8 respectively.

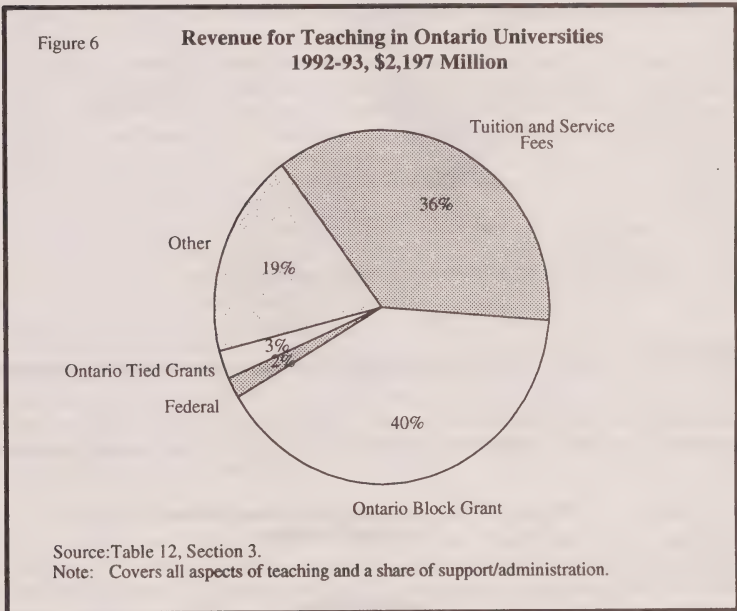
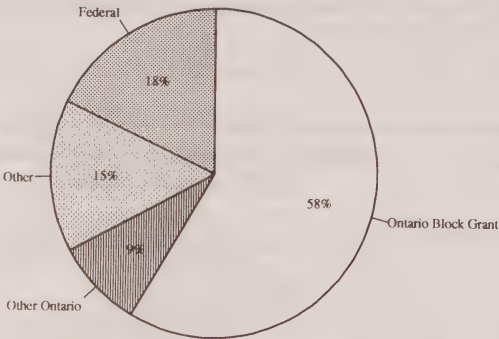


Figure 7

**Revenue for Research in Ontario Universities
1992-93, \$1,449 Million**

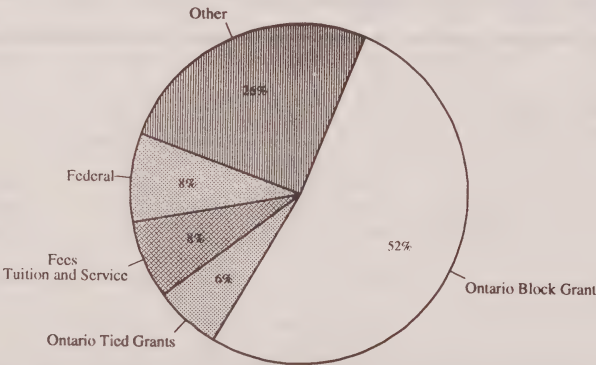


Source: Table 12, Section 3.

Note: 1. Covers all aspects of research and a share of support/administration.

Figure 8

**Revenue for Community Service in Ontario Universities
1992-93, \$454 Million**



Source: Table 12, Section 3.

Note: 1. Covers all aspects of community service and a share of support/administration.

According to this analysis, the Ontario block grant provides 40 per cent of the revenue for the teaching function, 59 per cent of the revenue for research, and 52 per cent of the revenue directed to community service. Division of the block grant itself among the three basic functions is illustrated in Figure 2 in Section 3.0 Major Findings.

8.0 Variation in Function Costs by Faculty Workload

Faculty costs are the largest component of university expenditures. Any inaccuracy in the assignment of these costs to the three basic functions will affect the resulting division of costs. In order to provide a sense of the possible error which could result in the outcomes, the model was used to calculate the relative costs of the three primary functions using extreme values for the percentages of "average faculty teaching activity" and "average faculty research activity". Other data inputs were not changed.

The inputs chosen to simulate the Ontario extremes were average faculty workloads in U.S. institutions representing the ends of the teaching/research continuum. Carnegie-designated "Research institutions" offer a full range of undergraduate programs, have a significant number of PhD programs and attract high levels of research funding. Carnegie-designated "Comprehensive institutions" concentrate on undergraduate programs and graduate programs up to the Master level. The results of the most recent Carnegie study of faculty workloads¹⁵ are used in sections 1 and 2 on Table 13. The resultant percentages were used as input in two separate recalculations of the expense and revenue spreadsheets. A summary of the significant results is shown in Table 14, and illustrated on Figure 9. Extensive details are provided in Appendix A and Appendix B. Apart from minor changes in individual cells that occur because of the overhead allocation process, these extreme versions chiefly generated shifts in the cost of teaching and the cost of research and, as a consequence, the allocation of the block grant to teaching and research.

This exercise estimated that teaching costs most probably fall between \$1,999 million and \$2,266 million while research costs fall between \$1,284 million and \$1,550 million. These high/low values are approximately 10 per cent above and 10 per cent below the values calculated in the base model. It is acknowledged that the model is interpretative and based in some cases on information which is less precise than desired. Revisions will be implemented when information considered more accurate is obtained.

9.0 Conclusion

The model described in this paper is designed to attribute the expenses and revenues of Ontario universities to their primary functions of teaching, research and community service. In considering the results of the analysis, it is important to review carefully the underlying assumptions of the model. It also should be noted that:

- some of the attributions of revenues and expenses are based on judgment rather than observation;
- the analysis assumes a discrete partitioning of university activity into the three primary functions although instances of overlap among the functions are known to exist; and,
- the most significant variable in the model, the distribution of faculty time, is known only from survey results.

The model's results indicate a balance among the costs of teaching, research and community service in the proportions of 53 per cent, 36 per cent and 11 per cent respectively. They also give rise to a distribution of the Government of Ontario block grant in the proportions of 45 per cent, 43 per cent and 12 per cent respectively.

15. For details on this study see the Task Force's paper on the structure of academic work.

The pattern of distribution of revenues and expenses among the universities' primary functions, as calculated at the system level, could vary significantly if this methodology were to be applied at the institutional level.

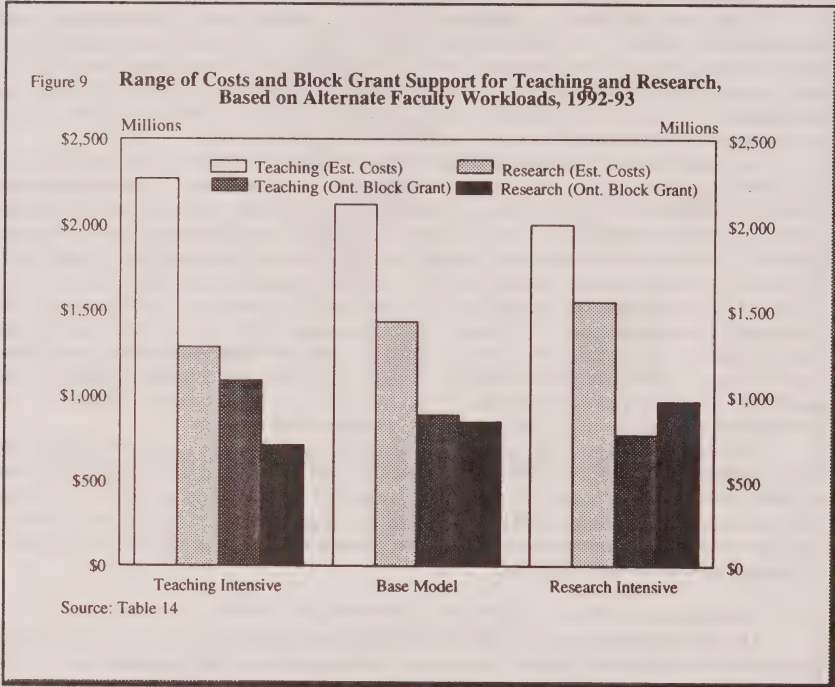


Table 13

**Annualization of Faculty Costs by Activity
for Research Intensive and Teaching Intensive Faculty Workloads**

1) Research Intensive Faculty Workload:

Activity →	Teaching	Research	Community Service	Support/ Administration
Period				
Teaching Term	41%	34%	11%	14%
Non-Teaching Term	20	52	15	13
Paid Sabbatical Leave	10	75	15	
Annualized Percentages	32	43	13	12

2) Teaching Intensive Faculty Workload:

Activity →	Teaching	Research	Community Service	Support/ Administration
Period				
Teaching Term	60%	15%	11%	14%
Non-Teaching Term	40	32	15	13
Paid Sabbatical Leave	10	75	15	
Annualized Percentages	50	25	13	12

Sources:

1. In both the Research Intensive and Teaching Intensive Faculty Workloads, the 11 per cent Community Service and 14 per cent Support/Administration in the Teaching Term are taken from the 1986 Lennards survey. For the Research Intensive Faculty Workload the 41 per cent Teaching during the Teaching Term and 34 per cent Research during the Teaching Term are derived from the Carnegie study results which are presented in the Task Force's background paper on the structure of academic work. Similarly, the Teaching Intensive Faculty Workload of 60 per cent Teaching during the Teaching Term and the 15 per cent Research during the Teaching Term are derived.
2. In both the Research Intensive and Teaching Intensive Faculty Workloads, the 15 per cent Community Service and 13 per cent Support/Administration in the Non-Teaching Term are taken from the Bertrand study.

Note: The annualized percentage for each faculty activity is derived by (2 x Teaching Term percentage + Non-Teaching Term percentage) divided by 3 x .92 + .08 of Paid Sabbatical Leave.

Table 14

Range of Outcomes based on Different Faculty Workloads
(\$ millions)

Cost of Teaching	High	\$2,266	Teaching Intensive
	Base	\$2,118	Ontario Model Results
	Low	\$1,999	Research Intensive
Cost of Research	High	\$1,550	Research Intensive
	Base	\$1,432	Ontario Model Results
	Low	\$1,284	Teaching Intensive
Ontario Block Grant for Teaching	High	\$1,027	Teaching Intensive
	Base	\$889	Ontario Model Results
	Low	\$770	Research Intensive
Ontario Block Grant for Research	High	\$968	Research Intensive
	Base	\$849	Ontario Model Results
	Low	\$711	Teaching Intensive

OCUA would be pleased to provide anyone interested with the spreadsheets used in this work and to receive feedback on the model. The spreadsheets are all written in LOTUS 1-2-3, Version 4.0 (for Windows).

APPENDIX A

Research Intensive Example

Section 1:

Allocation of Expenses by Function and Fund
(\$ millions)

Funds	Function							
	T	R	CS	Total	T	R	CS	Total
Operating Fund	1,482	996	288	2,765	74%	64%	65%	69%
Ancillary Fund	355	55	52	462	18%	4%	12%	12%
Sponsored Research Fund	57	483	72	612	3%	31%	16%	15%
Trust Fund	105	17	30	152	5%	1%	7%	4%
Total Expenses all Funds	1,999	1,550	442	3,991	100%	100%	100%	100%
Operating Fund	54%	36%	10%	100%				
Ancillary Fund	77%	12%	11%	100%				
Sponsored Research Fund	9%	79%	12%	100%				
Trust Fund	69%	11%	20%	100%				
Total Expenses all Funds	50%	39%	11%	100%				

Section 2:

Allocation of Expenses by Function and Object
(\$ millions)

Object of Expense	Function							
	T	R	CS	Total	T	R	CS	Total
Faculty	611	750	200	1,561	31%	48%	45%	39%
Staff	676	425	103	1,205	34%	27%	23%	30%
Other Expenses	712	374	139	1,225	36%	24%	31%	31%
Total Expenses by Object	1,999	1,550	442	3,991	100%	100%	100%	100%
Faculty	39%	48%	13%	100%				
Staff	56%	35%	9%	100%				
Other Expenses	58%	31%	11%	100%				
Total Expenses by Object	50%	39%	11%	100%				

Section 3:

Allocation of Revenues by Function and Source
(\$ millions)

Source	Function							
	T	R	CS	Total	T	R	CS	Total
Ontario Block Grant	770	968	237	1,975	37%	62%	52%	48%
Ontario Tied Grants	57	124	29	210	3%	8%	6%	5%
Federal Grants & Contracts	43	260	37	340	2%	17%	8%	8%
Student Tuition and Service Fees	798		34	832	38%		7%	20%
Other	409	216	116	742	20%	14%	26%	18%
Total	2,077	1,568	454	4,099	100%	100%	100%	100%
Ontario Block Grant	39%	49%	12%	100%				
Ontario Tied Grants	27%	59%	14%	100%				
Federal Grants & Contracts	13%	76%	11%	100%				
Student Tuition and Service Fees	96%		4%	100%				
Other	55%	29%	16%	100%				
Total	51%	38%	11%	100%				

Notes: 1. Total expenses and revenues are from COFO-UO Financial Report of Ontario Universities, 1992-93, Volume 1.

2. Support/Administration is allocated to the three functions of teaching, research and community service.

3. Faculty includes Academic Ranks and Other Instruction and Research.

4. In Section 2, benefits are included in faculty and staff expenses.

5. Values may not add due to rounding.

6. T - teaching; R - Research; CS - Community Service.

APPENDIX B

Teaching Intensive Example

Section 1: Allocation of Expenses by Function and Fund
(\$ millions)

Funds	Function							
	T	R	CS	Total	T	R	CS	Total
Operating Fund	1,742	735	288	2,765	77%	57%	65%	69%
Ancillary Fund	360	50	52	462	16%	4%	12%	12%
Sponsored Research Fund	57	483	72	612	3%	38%	16%	15%
Trust Fund	106	16	30	152	5%	1%	7%	4%
Total Expenses all Funds	2,266	1,284	442	3,991	100%	100%	100%	100%
Operating Fund	63%	27%	10%	100%				
Ancillary Fund	78%	11%	11%	100%				
Sponsored Research Fund	9%	79%	12%	100%				
Trust Fund	70%	10%	20%	100%				
Total Expenses all Funds	57%	32%	11%	100%				

Section 2: Allocation of Expenses by Function and Object
(\$ millions)

Object of Expense	Function							
	T	R	CS	Total	T	R	CS	Total
Faculty	832	530	200	1,562	37%	41%	45%	39%
Staff	704	397	103	1,204	31%	31%	23%	30%
Other Expenses	730	356	139	1,255	32%	28%	31%	31%
Total Expenses by Object	2,266	1,284	442	3,991	100%	100%	100%	100%
Faculty	53%	34%	13%	100%				
Staff	58%	33%	9%	100%				
Other Expenses	60%	29%	11%	100%				
Total Expenses by Object	57%	32%	11%	100%				

Section 3: Allocation of Revenues by Function and Source
(\$ millions)

Source	Function							
	T	R	CS	Total	T	R	CS	Total
Ontario Block Grant	1,027	711	237	1,975	44%	54%	52%	48%
Ontario Tied Grants	57	124	29	210	2%	9%	6%	5%
Federal Grants & Contracts	43	260	37	340	2%	20%	8%	8%
Student Tuition and Service Fees	798		34	832	34%		7%	20%
Other	412	214	116	742	18%	16%	26%	18%
Total	2,336	1,309	454	4,099	100%	100%	100%	100%
Ontario Block Grant	52%	36%	12%	100%				
Ontario Tied Grants	27%	59%	14%	100%				
Federal Grants & Contracts	13%	76%	11%	100%				
Student Tuition and Service Fees	96%		4%	100%				
Other	55%	29%	16%	100%				
Total	57%	32%	11%	100%				

- Notes:
1. Total expenses and revenues are from COFO-UO Financial Report of Ontario Universities, 1992-93, Volume I.
 2. Support/Administration is allocated to the three functions of teaching, research and community service.
 3. Faculty includes Academic Ranks and Other Instruction and Research.
 4. In Section 2, benefits are included in faculty and staff expenses.
 5. Values may not add due to rounding.
 6. T - teaching; R - Research; CS - Community Service.

TABLE 2

REVENUE AND ADDITIONS BY SOURCE AND TYPE OF FUND
FOR THE FISCAL YEAR ENDED 30 APRIL 1993
(IN THOUSANDS OF DOLLARS)

APPENDIX C

INSTITUTION: TOTAL FOR ALL UNIVERSITIES AND COLLEGES (ON A CONSOLIDATED BASIS)

SOURCE	TYPE OF FUND	GENERAL EXPENDABLE FUNDS				RESTRICTED EXPENDABLE FUNDS			TOTAL EXPENDABLE (8)	NON-EXPENDABLE TRUST AND ENDOWMENT (9)
						OPERATING (1)	OTHER (NON-CREDIT) (2)	ANCILLARY ENTERPRISES (3)		
1. GOVERNMENT GRANTS AND CONTRACTS										
(A) ONTARIO MET										
(I) FORMULA		1,685,472	0	0		1,685,472			1,685,472	0
(II) EXTRA FORMULA		213,489	0	0		213,489			213,489	0
(III) OTHER MET GRANTS		119,883	1,558	4,090		125,531			222,410	0
(B) OTHER ONTARIO GRANTS		16,826	2,520	768		20,114			147,918	30
TOTAL ONTARIO GRANTS		2,035,670	4,078	4,858		2,044,606			2,269,289	30
(C) FEDERAL		5,067	860	32		5,959			338,673	0
(D) MUNICIPAL		62	0	36		98			5,204	0
(E) OTHER		1,458	0	0		1,458			11,932	343
2. FEES										
(A) TUITION CREDIT		596,665	0	0		596,665			596,665	0
(B) TUITION NON-CREDIT		0	36,483	9		36,492			36,492	0
(C) MISCELLANEOUS		44,626	1,444	152,681		198,751			200,876	0
3. BORROWINGS		0	0	0		0			10,503	0
4. DONATIONS		13,173	409	990		14,572			131,050	21,410
5. NON-GOVT. GRANTS & CONTRACTS		4,810	556	10		5,376			155,025	25
6. SALES OF SERVICE AND PRODUCTS		0	0	286,992		286,992			286,992	0
7. INVESTMENT INCOME		51,079	462	3,095		54,636			135,591	12,046
8. MISCELLANEOUS		30,805	647	4,814		36,266			56,717	572
TOTAL		2,783,415	44,939	453,517		3,281,871			4,235,009	34,426

Source: Reprinted from COFO-UO Financial Report of Ontario Universities, 1992-93.

TABLE 3

EXPENSES (ALL EXPENDABLE FUNDS) BY OBJECT AND TYPE OF FUND
FOR THE FISCAL YEAR ENDED 30 APRIL 1993
(IN THOUSANDS OF DOLLARS)

APPENDIX D

INSTITUTION: TOTAL FOR ALL UNIVERSITIES AND COLLEGES (ON A CONSOLIDATED BASIS)

TYPE OF FUND	GENERAL FUNDS			RESTRICTED FUNDS				
	OPERATING (1)	OTHER (NON-CREDIT) (2)	ANCILARY ENTERPRISES (3)	SUBTOTAL (4)	SPONSORED RESEARCH (5)	TRUST AND ENDOWMENT (6)	CAPITAL (7)	TOTAL (8)
1. SALARIES AND WAGES								
(A) ACADEMIC RANKS	1,007,737	6,827	0	1,014,564	63,926	15,601	0	1,094,091
(B) OTHER INSTRUCTION & RESEARCH	133,595	8,097	0	141,692	115,804	8,507	0	266,003
(C) OTHER SALARIES AND WAGES	757,344	9,838	112,452	879,634	140,747	28,474	0	1,048,855
TOTAL SALARIES AND WAGES	1,898,676	24,762	112,452	2,035,890	320,477	52,582	0	2,408,949
2. EMPLOYEE BENEFITS	297,399	2,210	16,519	316,128	31,778	8,330	0	356,236
TOTAL SALARIES AND BENEFITS	2,196,075	26,972	128,971	2,352,018	352,255	60,912	0	2,765,185
3. LIBRARY ACQUISITIONS	58,083	77	0	58,160	1,664	2,573	427	62,824
4. EQUIPMENT & FURNITURE PURCHASE, RENTAL AND MAINTENANCE	87,164	1,520	14,141	102,825	61,863	9,305	6,770	180,763
5. OPERATIONAL SUPPLIES AND EXPENSES	125,499	9,953	42,227	177,679	118,602	28,579	1,501	326,361
6. COST OF GOODS SOLD	0	0	134,350	134,350	0	0	0	134,350
7. UTILITIES	79,034	36	27,424	106,494	1,752	270	0	108,516
8. MUNICIPAL TAXES	17,521	0	2,641	20,162	0	0	0	20,162
9. RENOVATIONS AND ALTERATIONS	19,309	46	17,244	36,599	918	1,148	37,345	76,010
10. EXTERNALLY CONTRACTED SERVICES	35,340	937	36,664	72,941	11,438	453	368	85,200
11. SCHOLARSHIPS, BURSARIES, ETC.	32,550	1	0	32,551	4,176	34,309	0	71,036
12. PRINCIPAL AND INTEREST REPAYMENTS	3,828	3	42,840	46,671	0	1,049	1,471	49,191
13. LAND AND SITE SERVICES	436	0	640	1,076	0	0	4,477	5,553
14. BUILDINGS	0	0	2,929	2,929	0	0	91,932	94,861
15. MISCELLANEOUS	76,728	6,366	7,150	90,244	52,171	12,450	157	155,022
16. INTERNAL COST ALLOCATIONS	-13,230	623	4,489	-8,118	6,679	1,001	438	0
TOTAL	2,718,337	46,534	461,710	3,226,581	611,518	152,049	144,886	4,135,034

Source: Reprinted from COFO-UO Financial Report of Ontario Universities, 1992-93.

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The Structure of Academic Work

August 1994

1.0 Introduction

This paper is one of a number of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system for universities in Ontario.

The university's main outputs are traditionally considered to be teaching, research, and community service. (See box *The Nature of Faculty Work in the University -- Two Views.*) As university faculty play a central role in delivering these services, knowing what faculty do and how they spend their time is critical to understanding how universities produce their three main outputs. The purpose of this paper is to provide background information to inform a discussion about the nature of academic work in Ontario universities. It considers the organization of faculty work; the allocation of faculty time to teaching, research, community service and administration in both teaching and non-teaching terms; the course loads assigned to faculty; and faculty research productivity.

Significant portions of the analysis presented in this paper are based on data from a survey entitled *The Academic Profession in Canada* (APIC) which was carried out in 1986. The principal investigator for this survey was Professor Jos. Lennards, Department of Sociology, Glendon College, York University¹. Findings from these data, though from 1986, are consistent with those from later studies.

2.0 The Organization of Faculty Work

There are essentially four components to faculty work. In delivering the university's three main services faculty teach and supervise students; they conduct research; and they engage in a variety of external activities such as consulting, professional activities, and various types of community service work. In addition, faculty also play a role in the administration of their universities by taking part in the collegial process of university governance, and, in some cases, performing administrative and management functions such as those carried out by department chairs, deans, program directors and so on.

Each faculty member's year is divided into teaching and non-teaching terms. The distribution of faculty time across the four workload components is different in these two terms². In Ontario universities, faculty typically conduct formal courses for up to thirty-two weeks of the year. During this time they have teaching assignments in the form of course loads. A course load refers to the number of units of formal instruction that are assigned to a faculty member. These units may be single courses or they may be sections of a course which has multiple sections. In some situations, specialized units of instruction such as the supervision of students on independent study programs may count as part of a faculty member's course load. Teaching in the form of supervising graduate and senior undergraduate students is less formally organized and goes on all year. In a teaching term faculty are also expected to carry out research, administrative and other duties.

Faculty also have a period of time, usually around sixteen weeks a year, during which they have no formally scheduled teaching duties except for student thesis supervision. This time is used for such activities as research, supervising student research, preparation for the next teaching term, and carrying out professional, consulting and community related activities. The remaining four weeks in the year are usually vacation time.

-
1. The APIC study surveyed 10,000 full-time faculty from Canadian universities. 5,217 responses were received nationally, 1,820 of which were from Ontario. Faculty from Ryerson Polytechnic University and the Ontario College of Art were not included in the survey. Faculty were asked their opinions on a range of work-related issues, about their academic history and background, and about how they spent their time. The survey was similar in design and content to a number of the large surveys of US faculty. It was carried out by the Institute for Social Research, York University and major financial support for the survey was provided by The Social Sciences and Humanities Research Council of Canada
 2. The distribution of time would also be different during sabbatical leaves. However, faculty on sabbatical leave were excluded from the analysis and their time was not prorated over the figures reported in this paper.

THE NATURE OF FACULTY WORK IN THE UNIVERSITY -- TWO VIEWS

The Conventional View:

Teaching: The delivery of academic programs leading to degrees or diplomas at all levels. Includes the design, revision, administration and delivery of instruction, and the evaluation and counselling of students.

Research: The search for new knowledge and/or deeper understanding through both empirical and intellectual inquiry which could be pure or applied. The conceptualization of questions, the preparation of proposals, the implementation of programs, and the communication of results. In the fine and performing arts, a model focusing on creativity is more germane.

Community Service: Talent and expertise (both paid and unpaid) made available to the external community through the provision of non-credit continuing education, contract research, consultative advice, adjudications, consultations, evaluations service on commissions, advice to advocacy groups, arbitrations, or commissioned works of art. Community Service also includes service to a discipline -- professional associations, committees of research and external review committees.

The New View: Four-fold Categories of Scholarship after Rice, Boyer* and others:

The Scholarship of Discovery: Pure research, extension of the frontiers, the pursuit of knowledge for its own sake.

The Scholarship of Integration: Synthesis of knowledge, looking for new relationships between the parts and whole, the past, present and future. An approach to knowledge across disciplinary boundaries.

The Scholarship of Practice: The application of knowledge to the problems of society, especially through professions such as medicine, law, engineering and social work.

The Scholarship of Teaching: Includes knowledge of effective ways to represent subjects, and the ability to draw the strands of a field together in a way that provides both coherence and meaning; placing what is known in context and to open the way for connections to be made between the knower and the known. In effect turning scholarly inquiry into the creation of meaning.

* R. Eugene Rice, "Toward a Broader Conception of Scholarship: The American Context", In Thomas G. Whiston and Roger L. Geiger, eds., Research and Higher Education: The United States and the United Kingdom, The Society for Research into Higher Education and Open University Press, Buckingham, 1992 and Ernest Boyer, Scholarship Reconsidered, The Carnegie Foundation for the Advancement of Teaching, Washington, 1990.

3.0 Faculty Workload Studies

Faculty workload studies typically use the traditional four-fold model of academic work -- teaching, research, community service and administration/governance. Information on how faculty distribute their time over these four workload components can be gathered in many ways. Survey questionnaires, personnel activity reports, faculty logs, or administrative databases have all been used to provide information on faculty workloads. Surveys are widely used in comparative studies. There have been several major national surveys of faculty done in the past ten years in the

United States and many state level studies³. However, there is little systematic information about how faculty in Ontario universities spend their time. The most recent work which includes the Ontario system was the APIC survey done in 1986. Also relevant to this study is a survey of Carleton University faculty which was done by Professors Linda Duxbury, Louise Heslop, and Judith Marshall in the Fall, 1992⁴. In addition, an ad hoc committee of the Council on University Planning and Analysis (CUPA), representing institutional planners in Ontario universities, and the Ontario Council on Graduate Studies (OCGS) undertook a limited faculty workload study of the Ontario university system specifically to inform the Resource Allocation Review⁵.

The APIC study was a national survey of full-time university faculty in fifty-two Canadian universities. The results of the survey have not been widely published although they were used extensively in a Quebec government report on faculty workloads in Quebec universities⁶. Data from this survey will be used as a starting point for discussing the structure of faculty workloads in Ontario universities.

One of the objectives of this background paper is to compare the structure of academic work in Ontario, as described by the APIC data, with other jurisdictions. In some cases this can be done using published materials; in others, US faculty survey data are used.

Comparisons of academic work will be more reliable if they are made among institutions with similar characteristics. Universities vary considerably in size, types and levels of programs offered, and institutional missions. For example, some have extensive graduate programs while others are focussed on undergraduate teaching; some have a strong research orientation, for others research is a less important activity; some play significant roles in their local community, others have a more regional, national, or international outlook. These factors influence the structure of academic work and comparisons of workloads should take them into consideration. This is especially true when the comparison involves both US and Canadian universities.

The Carnegie classification of postsecondary institutions is widely used in the comparative analysis of US institutions. This classification has eight major categories and a number of smaller categories for specialized institutions. It groups institutions by mission, types and numbers of degrees awarded, admission requirements, and other unique features (see Table 1). The 1987 version of the classification which was used in the 1988 Carnegie survey of US faculty was adapted at the University of British Columbia for use with Canadian universities⁷. This classification was applied to the institutions in the APIC survey. When reporting findings from US

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3. See Appendix B for a brief review of some of these studies. See also: Harold Yuker, Faculty Workload: Research Theory and Interpretation. ASHE-ERIC Higher Education Research Report No. 10. Association for the Study of Higher Education, Washington, DC; 1984 and John W. Creswell, and others, "The characteristics and utility of national faculty surveys". New Directions for Institutional Research (No. 69) Using National Data Bases 18(1),41-59. 1991.
 4. The Duxbury, Heslop and Marshall study surveyed 712 faculty at Carleton University on work and family roles in the Fall of 1992. Figures used in this report are based on an unpublished analysis of responses from 312 faculty done by the study's principal investigators.
 5. See Appendix E for a summary of the CUPA/OCGS study; also see the discussion of the CUPA/OCGS study in Appendix A.
 6. André Archambault et al., La tâche du professeur d'université au Québec. Rapport du groupe de travail présenté au ministre de l'enseignement supérieur et de la science, Ministre de l'enseignement supérieur et de la science, Québec, 1989.
 7. The classification of Canadian universities into the Carnegie categories was developed by John Chase, Director of Budget and Planning, at the University of British Columbia. Table 1 shows how Canadian universities were placed in the Carnegie categories.

TABLE 1: CATEGORY DEFINITIONS FOR THE CARNEGIE FOUNDATION'S CLASSIFICATION OF INSTITUTIONS OF HIGHER EDUCATION IN THE UNITED STATES		
1987 Categories and Definitions		Ontario Universities
Research Universities I These institutions offer a full range of baccalaureate programs, are committed to graduate education through the doctorate degree, and give high priority to research. They receive annually at least \$33.5 million in federal support and award at least 50 Ph.D. degrees each year.		McMaster, Ottawa, Queen's, Toronto, Waterloo, Western
Research Universities II These institutions offer a full range of baccalaureate programs, are committed to graduate education through the doctorate degree, and give high priority to research. They receive annually between \$12.5 million and \$33.5 million in federal support and award at least 50 Ph.D. degrees each year.		
Doctorate-granting Universities I In addition to offering a full range of baccalaureate programs, the mission of these institutions includes a commitment to graduate education through the doctorate degree. They award at least 40 Ph.D. degrees annually in five or more academic disciplines.		Carleton, Guelph, Windsor, York
Doctorate-granting Universities II In addition to offering a full range of baccalaureate programs, the mission of these institutions includes a commitment to graduate education through the doctorate degree. They award annually 20 or more Ph.D. degrees in at least one discipline or 10 or more Ph.D. degrees in three or more disciplines.		
Comprehensive Universities and Colleges I These institutions offer baccalaureate programs and, with few exceptions, graduate education through the master's degree. More than half of their baccalaureate degrees are awarded in two or more occupational or professional disciplines such as engineering or business administration. All institutions in this group enroll at least 2,500 students.		Brock, Lakehead, Laurentian, Trent, Wilfrid Laurier
Comprehensive Universities and Colleges II These institutions award more than half of their baccalaureate degrees in two or more occupational or professional disciplines such as engineering or business administration and many also offer graduate education through the master's degree. All colleges and universities in this group enroll between 1,500 and 2,500 students.		(No other Ontario institutions were included in the UBC classification. Nor were they included in the APIC survey.)
Notes:		<p>1. The Carnegie classification is described in Ernest Boyer, <u>The Condition of the Professoriate</u>, The Carnegie Foundation for the Advancement of Teaching, Princeton NJ, 1989.</p> <p>2. The classification of Canadian universities into the Carnegie categories was developed by John Chase, Director of Budget and Planning at the University of British Columbia.</p>

studies, only the top three major categories⁸ - Research, Doctoral, and Comprehensive - are used. Where possible, the US findings are also restricted to public universities. It should be stressed that, while the Carnegie classification has a "prestige" dimension to it in the US, the modified classification adopted in this study is being used only for comparative and not for ranking purposes. It is an attempt to roughly categorize Canadian universities so that Canadian survey results can be compared with US results for institutions with similar programs and missions. The use of the Carnegie classification in this study is in no way an attempt to rank Canadian universities. Nor does our comparison imply that US universities should set the norm for Canadian universities.

4.0 Faculty Workload During Teaching Terms

Most faculty surveys only consider workloads during a teaching term and the most detailed information in these surveys concerns the teaching function. Typically, the surveys provide information on the total hours worked as well as information on the amount of time allocated to the four components of faculty work.

4.1 Total Hours Worked per Week During Teaching Terms

The simplest measure of faculty workload is the total hours spent on all activities. In most studies, this is a self-reported number. Faculty may be asked simply for the total number of hours they work in an average week or for a more or less complex breakdown of time spent on various tasks. Table 2 shows the total hours worked as reported in several studies.

Estimates from the APIC data suggest that Ontario faculty work at least 48 hours/week on average during a teaching term⁹. The CUPA/OCGS study estimates that the total hours worked by Ontario faculty is in the range 51-61 hours/week. The Duxbury et al. study of Carleton faculty, puts the estimate at 56 hours/week. These numbers are similar to those in a number of US studies.

One of the striking features of these estimates of the total hours worked is their stability across institutional types and over time. On average, faculty report that they work between 50-60 hours per week during a teaching term and have done so for the past 15 years across many different jurisdictions.

4.2 Distribution of Time by Activity

In addition to total time worked, most surveys also consider how that time is allocated across the four components of faculty workload: teaching, research, administration, and external service activities¹⁰. Data from the APIC survey indicate that Ontario faculty spent about 49% of their time on teaching, 26% on research, 14% on administration and 11% on external service during a teaching term in 1986 (Table 3 and Figure 1). The proportion of time allocated to teaching and research estimated from the APIC data is similar to those provided by the CUPA/OCGS study which estimated that Ontario faculty spend between 55 and 66% of their time on teaching and 25-29% on research¹¹.

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8. Research includes the Carnegie categories Research I and Research II, Doctoral includes Doctoral I and Doctoral II, and Comprehensive includes the Comprehensive I and Comprehensive II categories.
 9. The APIC survey did not ask for the total hours worked. An estimate of the total hours worked was derived from several separate questions asked in the survey. The details on how this was done can be found in Appendix C. The total hours worked derived from the APIC data should be treated as a lower bound on the actual total hours worked.
 10. See Appendix C for a discussion of how time spent on these activities was measured in the APIC survey.
 11. The CUPA/OCGS estimate for the upper limit on teaching of 66% is probably too high even in a teaching term. This would mean that all Ontario universities have a workload distribution similar to the teaching intensive comprehensive universities in the United States (see Table 2). An extended analysis of the CUPA/OCGS data to be found in Appendix A suggests that Ontario faculty spend about 53% of their time on teaching based on CUPA/OCGS and other data.

TABLE 2: FACULTY WORKLOAD: TOTAL HOURS PER WEEK SPENT ON ALL REPORTED ACTIVITIES DURING TEACHING TERMS

	Institution Type			All Institutions
	Research	Doctoral	Compre- hensive	
The Academic Profession in Canada (APIC, 1986)				
Ontario	48	48	48	48
Atlantic		48	49	48
Quebec	48	49	46	48
West	49	48	47	48
Canada	48	48	48	48
Other Canadian Studies				
CUPA/OCGS (Ontario, 1994)				51-61
Bertrand, (Quebec, 1990)				50
Duxbury (Carleton, 1992)		56		
US National Studies				
Ladd/ Lipset (1977)	46	46	45	44
Faculty at Work (1988)	55	54	53	54
NSOPF (1988)	57	54	52	54
Carnegie (1989)	50	48	47	48
US State Studies				
Virginia (1975)		55	58	52
Virginia (1991)		54	51	52
Nevada (1992)		58		58
Arizona (1993)	57	55		56

Sources: See Appendix A, Data Sources.

Table 3 shows how faculty in various other jurisdictions allocated their time across the four activities.

The APIC survey provides information about faculty in other parts of Canada. The proportion of time spent on teaching ranges from a low of 43% in Quebec to a high of 55% in the Atlantic provinces. Quebec faculty also devoted more time to research (29%) than did those in other regions. Faculty in all regions in Canada reported spending about 11% of their time on external service and about 14% of their time on administration and governance. A more recent Quebec study confirms this general distribution of time in Quebec universities¹².

The faculty in US universities also allocate their time across the four activities in a way which is similar to Ontario faculty. A survey conducted by the Carnegie Foundation for the Advancement of Teaching (Carnegie, 1989) found that US faculty spent about 54% of their time teaching, 27% on research, 5% on service¹³ and 14% on administration. Findings from another major US study, the National Survey of Postsecondary Faculty (NSOPF, 1988) conducted by the National Center for Education Statistics of the U.S. Department of Education in 1988, are even more similar to those from the APIC survey for Ontario (see Figure 1).

12. Denis Bertrand, Roland Foucher, Réal Jacob, Bruno Fabi, and Paul Beaulieu, *Le travail professoral remesuré*, Presses de l'Université du Québec, 1994.

13. This figure of 5% for community service is low compared to other studies because the Carnegie survey did not ask respondents about the amount of time that they spent on professional activities. Professional activity is usually included in the "community service" component of faculty work in other studies.

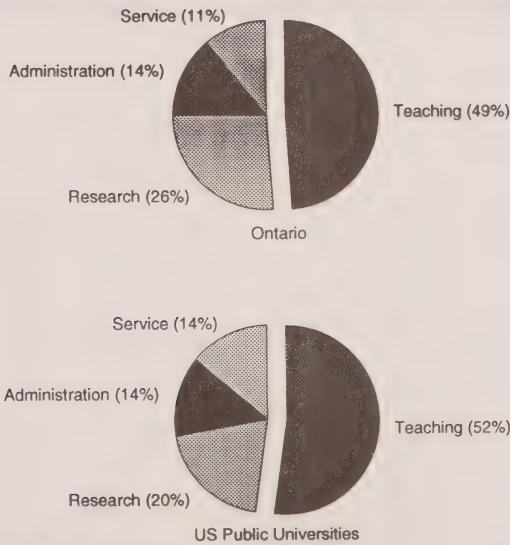
TABLE 3: PERCENTAGE DISTRIBUTION OF FACULTY TIME DURING TEACHING TERMS IN VARIOUS JURISDICTIONS

	Activity			
	Teaching	Research	Service	Administration
The Academic Profession in Canada (APIC)				
Ontario	49	26	11	14
Atlantic	55	22	10	13
Quebec	43	29	12	16
West	50	26	10	15
Canada	49	26	11	14
CUPA/OCGS (Ontario)	53	23	10	14
Bertrand (Quebec)	44	26	16	14
US National Studies				
Carnegie	54	27	5	14
NSOPF-88	52	20	14	14

Sources: See Appendix A, Data Sources..

Note: The CUPA/OCGS figures are not the figures reported by CUPA/OCGS but estimates based on their data. See discussion of CUPA/OCGS study in Appendix A.

Figure 1: Distribution of Faculty Time During Teaching Terms - Ontario and US Public Universities



Sources: Ontario - APIC, 1986; US - NSOPF, 1988

4.3 Effect of Institution Type on the Distribution of Time

Table 4 shows the distribution of faculty time across the four activities by university type for a number of surveys and jurisdictions. For faculty in Ontario universities, Table 4 shows that the structure of their workload depends upon institution type (Figure 2). As institutional mission and program focus change, the balance between teaching and research shifts. Faculty in comprehensive universities spend about one-third more time on teaching than those in research universities. They also spend about 30% less time on research than faculty in research institutions. This pattern can also be seen among US universities (Figure 3).

In general, the proportion of time spent on teaching and research is similar across Canadian and US institutions of the same type. The similarities are strongest for doctoral institutions where the ratio of teaching to research is about 2 to 1. The APIC survey shows that the ratio of teaching to research in Canadian research-intensive universities is around 1.6 to 1 and around 3.0 to 1 in comprehensive universities. The only exception to this is in Quebec where the balance between teaching and research across all institutions is similar to that found in research-intensive universities in the rest of the country.

While the balance between teaching and research is responsive to institutional mission, the proportion of time allocated to administration and other activities does not change very much across institution types in Ontario (Figure 2). This can also be seen in universities in other regions in Canada (Table 4) and in US universities (Table 4 and Figure 3).

While the Canadian institutions are generally similar to their US counterparts there are some differences. In the US there is a sharper differentiation between research and doctoral universities on one hand and comprehensives on the other. Comprehensive universities in the US seem to be more focussed on teaching than similar types of universities in Canada. For example, based on the NSOPF survey, faculty in US comprehensive universities spend about 45% more time teaching than faculty in research universities (62% compared to 43%). In Ontario, faculty at comprehensive universities spend about 30% more time on teaching than those in research-intensive universities (58% compared to 45%).

In spite of these differences, though, the overall impression that is created from these faculty workload studies is that academic work is organized in much the same way across all North American universities. The proportion of faculty time allocated to producing the university's three outputs is roughly the same in all universities with similar missions and program mixes.

TABLE 4: FACULTY TIME AS A PERCENT OF TOTAL HOURS WORKED PER WEEK DURING TEACHING TERMS BY ACTIVITY AND INSTITUTION TYPE FOR VARIOUS JURISDICTIONS

TEACHING		RESEARCH			ADMINISTRATION			COMMUNITY SERVICE		
		Research	Doctoral	Comprehensive	Research	Doctoral	Comprehensive	Research	Doctoral	Comprehensive
The Academic Profession in Canada (APIC)										
Ontario	45	50	58	28	26	20	15	14	12	9
Atlantic		51	59		25	20		14	13	9
Quebec	41	44	46	30	28	29	16	16	15	11
West	46	49	59	28	28	20	15	14	12	9
Canada	45	49	56	29	27	22	15	14	13	9
Other Canadian Studies										
Duxbury (Carleton U)		58			21			12		9
US National Studies										
NSOPF-88	43	47	62	29	22	11	14	14	13	13
Carnegie-89	44	53	65	37	28	16	14	14	13	6
US State Studies										
South Carolina	57		77	23		4	14		13	-
Nevada		60			25			12		3
Virginia		45	66		34	17		21	17	(included in administration)
Arizona	45	58		35	23		13	15	7	4

Sources: See Appendix A, Data Sources.

Figure 2: Distribution of Faculty Time During Teaching Terms by Institution Type - Ontario

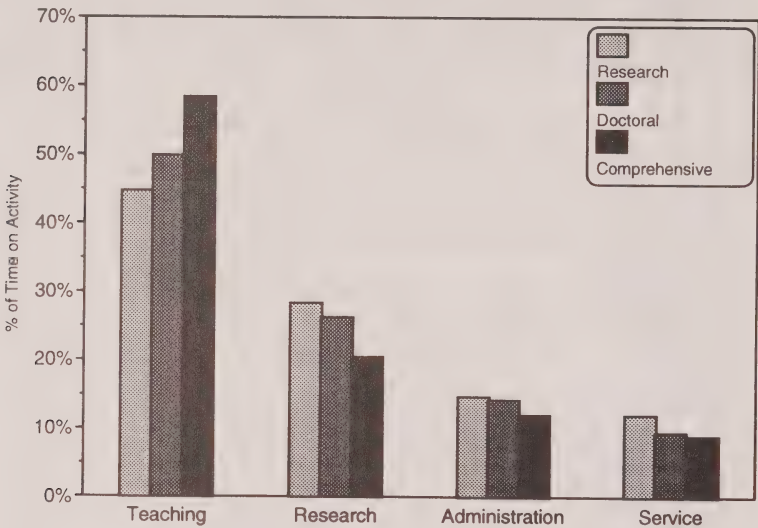
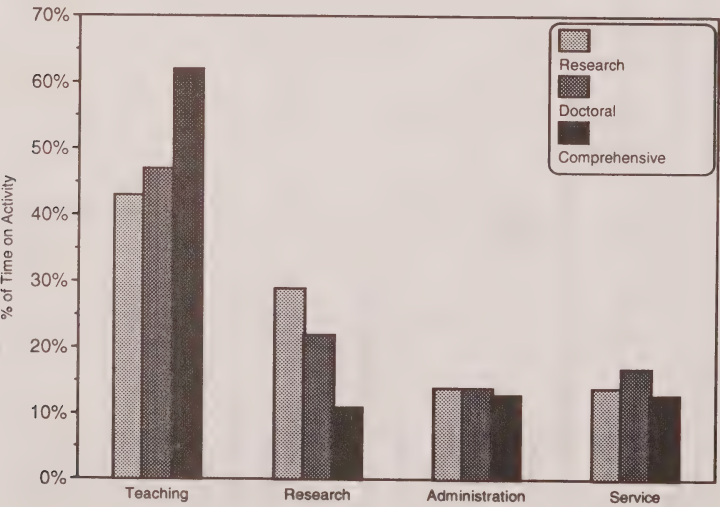


Figure 3: Distribution of Faculty Time During Teaching Terms by Institution Type - US Public Universities, NSOPF-88



5.0 Faculty Workload in Non-Teaching Terms

It is important to recognize that the allocation of time reported in most faculty workload studies is for a typical week in a teaching term. There are very few studies which consider how faculty spend their time in non-teaching terms. One exception to this is the Bertrand study done in Quebec in 1990. The allocation of time by Quebec faculty in both teaching and non-teaching terms is shown in Table 5. As might be expected, research activity in Quebec universities increased in the Summer term from 26% to 43% and teaching dropped from 44% to 29%. The decrease in teaching time is less than might be expected because the supervision of student research increased in the non-teaching term. Over the entire year faculty in Quebec universities devoted 31% of their time to research and 40% to teaching.

6.0 Variations in the Structure of Workload

While average faculty workloads during a teaching term are structured in similar ways across many jurisdictions, this consistency masks a considerable variation in how individual faculty members spend their time.

Ontario faculty reported working, on average, about 48 hours/week during the teaching term in the APIC survey. Figure 6 shows that only about 45% of faculty reported total hours worked within 10 hours/week of this average. About 30% reported working between 20 and 40 hours/week and another 20% reported working more than 60 hours/week. While under and over reporting may account for some of the extreme hours reported, there would, nonetheless, seem to be a significant variation in the number of hours worked in a week.

TABLE 5: PERCENTAGE DISTRIBUTION OF FACULTY TIME IN TEACHING AND NON-TEACHING TERMS; QUEBEC UNIVERSITIES, 1990-91

	Fall/Winter Terms 1990-91	Summer 1990	Academic Year 1990-91
Teaching	32.2	15.0	27.2
Supervision of student research	11.9	13.5	12.5
Total teaching	44.1	28.5	39.7
Research	25.9	43.1	31.0
Administration	16.1	13.2	15.0
External community service	7.0	6.3	6.9
Professional activities	6.7	8.8	7.3
Total service	13.7	15.1	14.2
Total	100.0	100.0	100.0

Source: Bertrand, 1994; Table 3.5

Figure 4: Distribution of Faculty Time in Teaching and Non-Teaching Terms - Quebec Universities

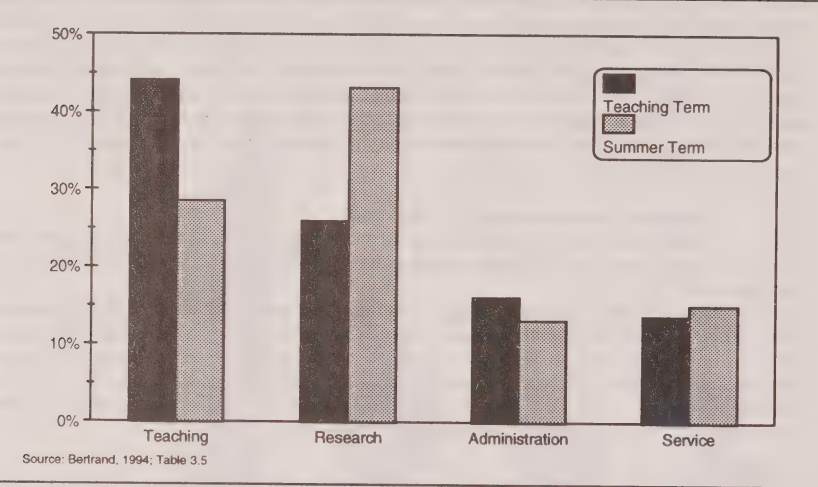


Figure 5: Distribution of Faculty Time During the Whole Academic Year - Quebec Universities

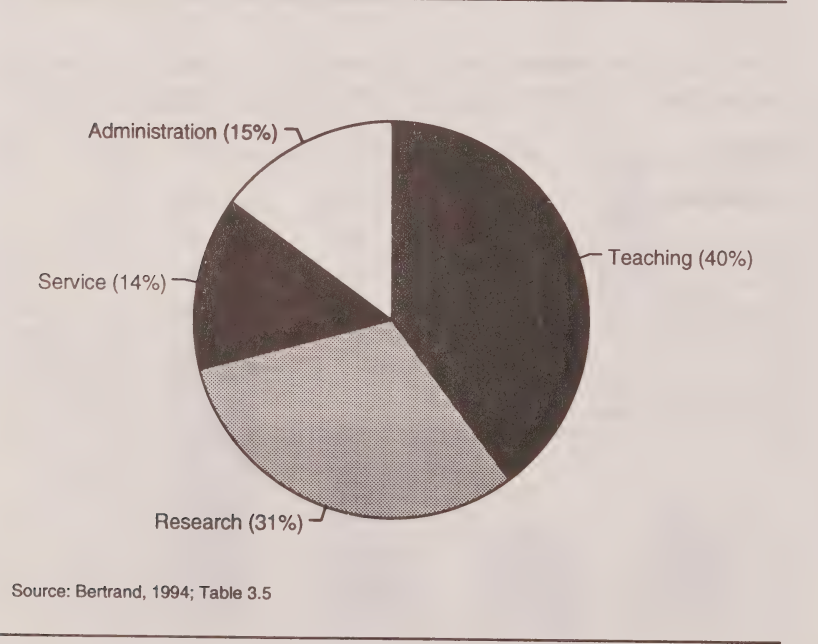
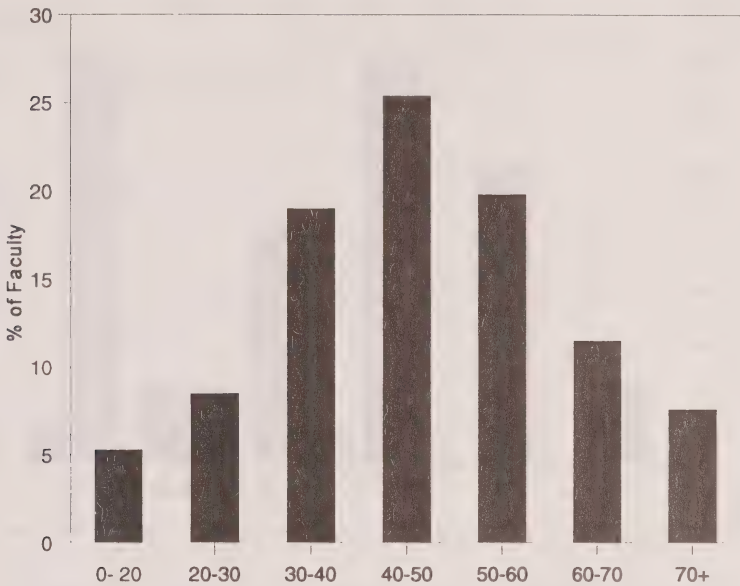


Figure 6: Total Hours/Week In Teaching Terms - Ontario

6.1 Hours Reported as Spent on Workload Components

The high level of variation in total hours worked can also be seen in the teaching and research components of faculty work. Ontario faculty reported spending, on average, 23 hours/week on teaching related activities. But only about 35% reported that they were in the 20 to 30 hours/week range which includes the average (Figure 7). About 1/3 reported that they spent less than 20 hours and the other 1/3 spent more than 30¹⁴. Time spent on research shows the same wide variation (Figure 8). On average, faculty spend about 13 hours/week on research. But nearly 40% reported spending less than 10 hours/week and 27% reported spending more than 20 hours/week.

While there are marked differences in the amount of time that individual faculty devote to teaching and research, time spent on administration and external activities show much less variation. For example, 73% of faculty reported spending less than 10 hours/week on administration (Figure 9). 65% of faculty reported doing no consulting and 90% reported spending less than 10% of their time on consulting. Most faculty (80%) also reported spending less than 10% of their time on professional activities.

14. Some of this variation reflects differences in course loads. See discussion in section 7.0 Course Loads.

Figure 7: Teaching Hours/Week In Teaching Terms - Ontario

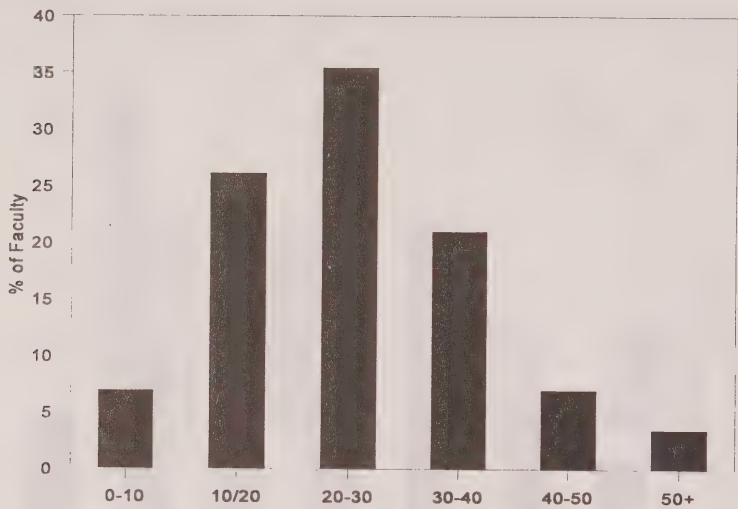


Figure 8: Research Hours/Week In Teaching Terms - Ontario

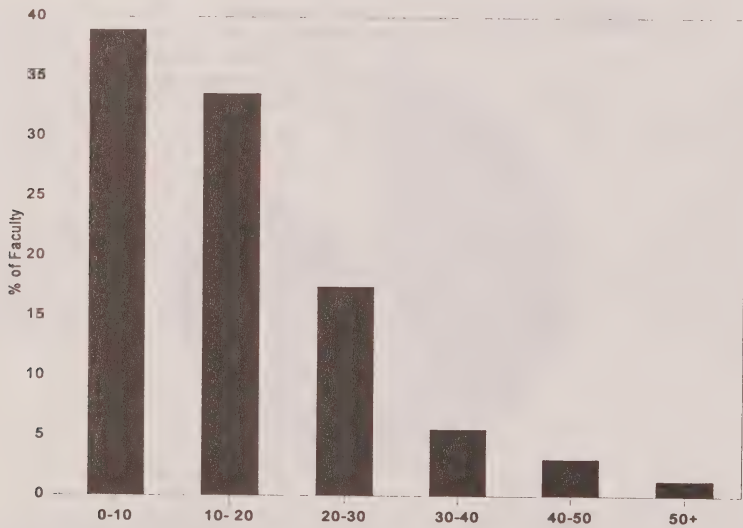
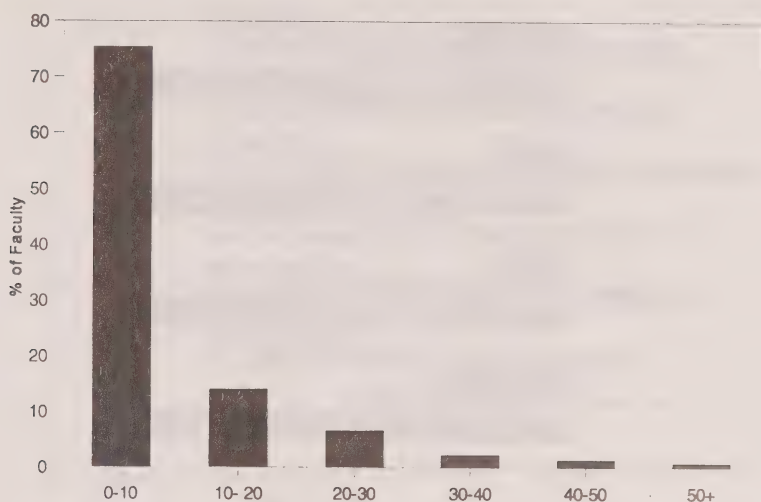


Figure 9: Administration Hours/Week In Teaching Terms - Ontario

6.2 Differences in the Allocation of Time by Characteristics of Faculty Members

The high level of variation in the research and teaching components of faculty workloads raises questions about possible causes for this variation. One potential source is the characteristics of faculty themselves. Such factors as location on their career path, gender, subject area taught and so on may cause individuals to place different emphases on teaching and research.

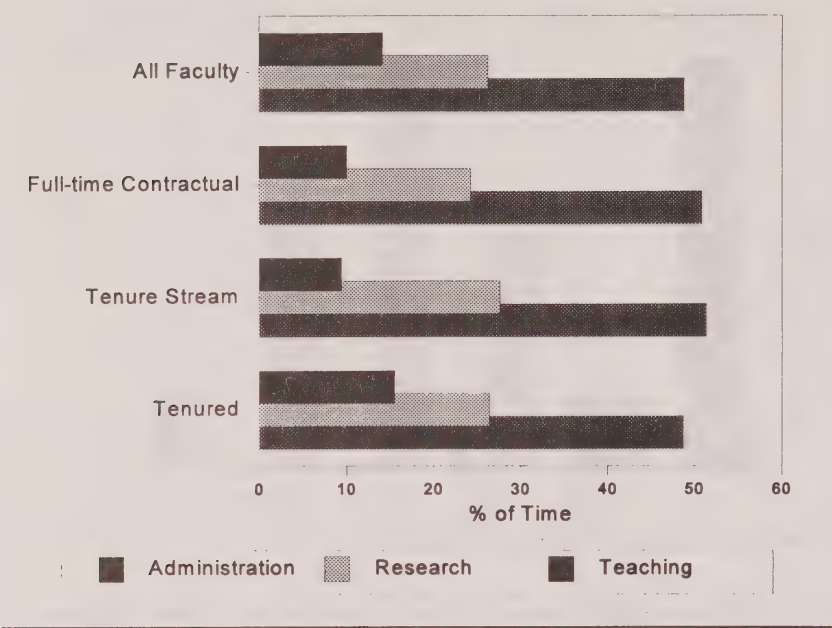
This section looks at differences in the allocation of faculty time by tenure status, academic rank, discipline, and gender. Appendix D provides a more technical statistical analysis of these differences.

6.2.1 Tenure Status

Figure 10 shows how faculty with different tenure status¹⁵ allocate their time across teaching, research and administration. There are some differences but they are relatively small. Overall, faculty being considered for tenure (tenure stream faculty) reported spending slightly more time teaching and doing research than tenured faculty and less on administration. Faculty on contract reported spending a little less time on research than other faculty. The statistical analysis in Appendix D shows that tenure status did not have any statistically significant effect on the amount of time spent on teaching. However, the analysis does show that tenure stream faculty tended to devote more hours to research than other groups (Table 9).

15. There are two basic types of employment status among full-time university faculty. 1) Tenured faculty have a permanent position which they hold until they leave voluntarily, retire, or are "dismissed for cause". Tenure stream faculty are essentially probationary employees. At the end of their probationary period, which generally lasts five years, they become eligible for tenure. 2) The other type of full-time faculty are faculty with contractually-limited appointments. Usually full-time contractual faculty have responsibilities and privileges similar to tenured and tenure stream faculty; though, in some cases, their activities may be more focussed on teaching. Universities also employ significant numbers of part-time teaching staff.

Figure 10: % of Time on Activity by Tenure Status - Ontario, Teaching Terms



6.2.2 Academic Rank

Figure 11 shows that lecturers, which includes instructors in this analysis, spent about 58% of their time on teaching related activities. This compares to full professors who reported spending 45% of their time on teaching. Full professors tended to spend more of their time on research and administration than other groups.

The statistical analysis in Appendix D shows that, when other factors are taken into consideration, the differences across academic ranks in the amount of time allocated to teaching are very small. Differences in the amount of time spent on research are shown to be statistically significant.

6.2.3 Academic Field

There are large variations in the amount of time spent on the different workload components across academic fields (Figure 12). Faculty in the humanities devoted the greatest proportion of their time to teaching and faculty in the health disciplines the least. The social sciences and education are two other teaching intensive fields. The percentage of time allocated to research is highest among faculty in the agricultural and biological sciences and in mathematics and the physical sciences. The lowest percentage of time given to research is among faculty in the fine and applied arts and education. Faculty in these two groups (and the health disciplines) reported spending a greater proportion of their time on administration than other groups.

6.2.4 Gender

Figure 13 shows that women faculty reported spending about 7 percent more per week on teaching than men and about the same amount less on research. The amount of time spent on

Figure 11: % of Time on Activity by Rank - Ontario, Teaching Terms

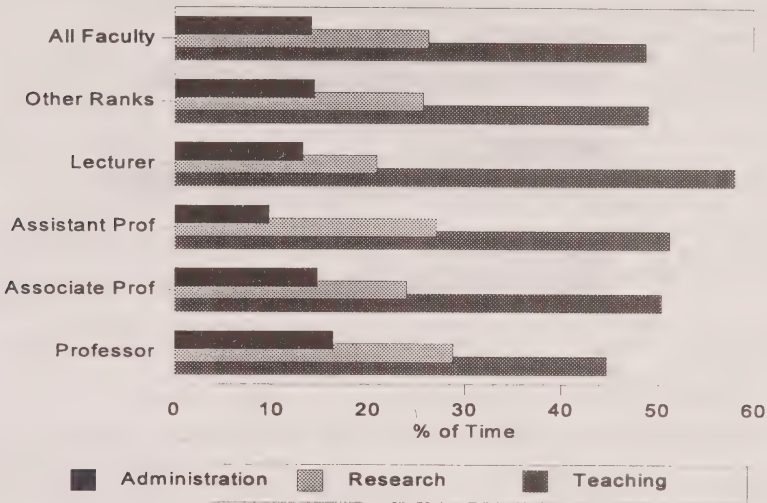


Figure 12: % of Time on Activity by Field - Ontario, Teaching Terms

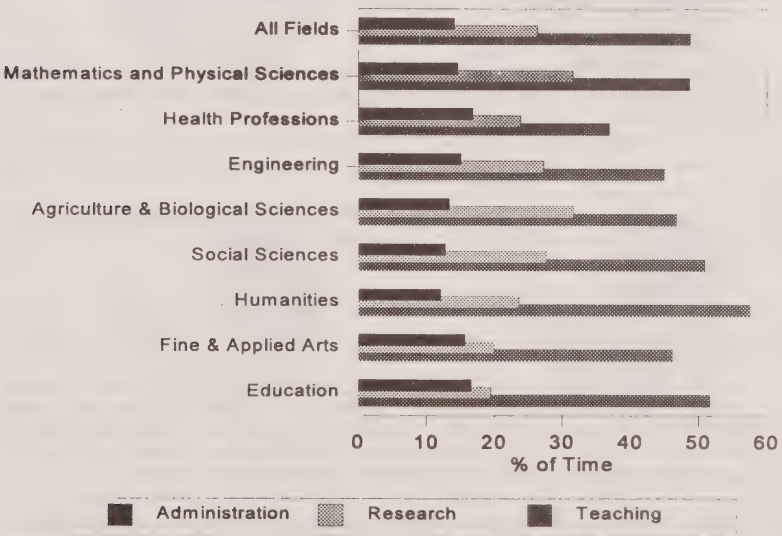
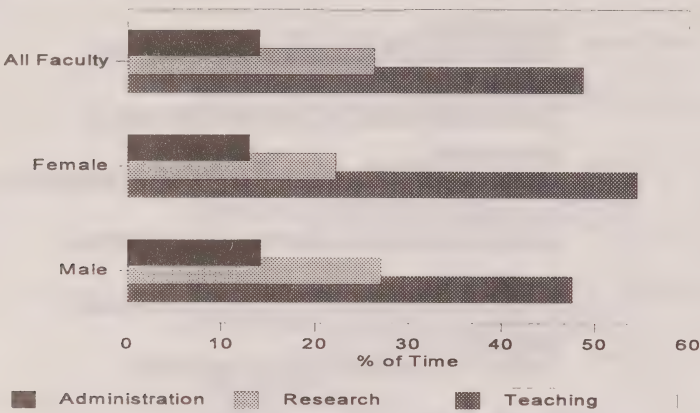


Figure 13: % of Time on Activity by Gender - Ontario, Teaching Terms



administration is similar for both. The statistical analysis in Appendix D shows that these differences exist even after other factors such as position on the career path are taken into consideration.

In general, the differences in time allocated to teaching, research, and administration across tenure status, rank, gender and discipline are not large. The statistical analysis in Appendix D shows that these factors, along with several others, only explain 16% of the observed variation in reported teaching hours and 12% of variation in research hours. This suggests that, even when basic characteristics of faculty and their work environment are taken into consideration, there is still a large component of the variation in their working time that is unexplained.

7.0 Course Loads

Previous sections of this paper have considered how much time faculty spend on various activities. This section and the next look at outputs from the teaching and research processes and their relation to time spent on the activity.

Teaching productivity can be measured in a number of different ways - course loads, students taught, student contact hours, and so on. The APIC survey only provides information on the simplest of these measures - course loads.

The APIC data show that about 75% of Ontario faculty who reported having a full teaching load teach two or three courses per term¹⁶. The other 25% teach either one¹⁷ or more than

16. As course loads are assigned over an academic year, the course load in a given term may not be an accurate reflection of an individual faculty member's total course load. For example, if the total course load is fivehalf courses in two terms, this load will be split as two courses in one term and three in another (often referred to as a 3+2 load). In this situation, faculty would report a two or three course load depending in which term the survey question was answered. This effect "averages-out" in average course load statistics.

17. The APIC survey asks "How many different courses (not sections of the same course) are you teaching this term?". This wording may have lead to an under reporting of actual course loads. For example, if the question wording is followed exactly, faculty teaching three sections of the same course will report a course load of one. Normally, this would count as a course load of at least two.

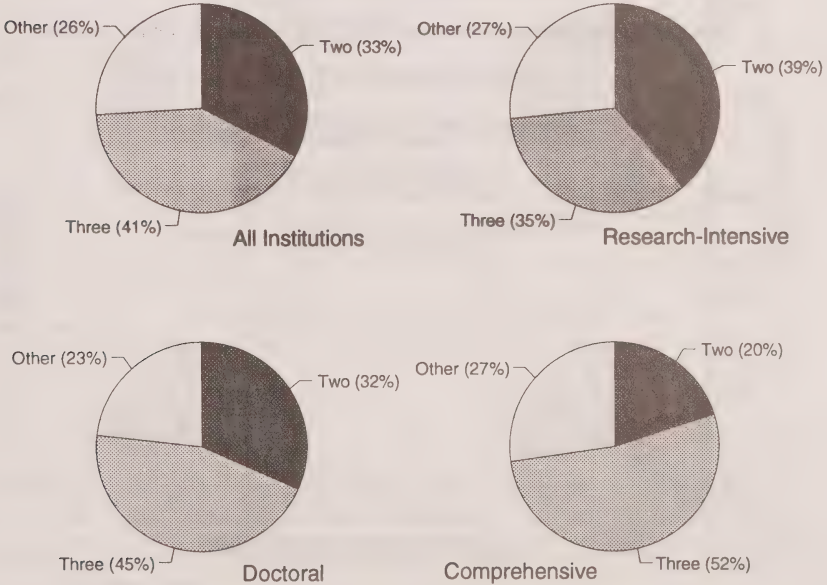
three courses¹⁸. Two or three courses per term represents the standard course load that is assigned to most Ontario faculty.

There is a variation in the proportion of two and three course loads across institution type (Figure 14). Nearly 40% of faculty at research-intensive universities carry a course load of two compared to only 20% at comprehensive universities. Faculty at comprehensive universities are 2.5 times as likely to have a course load of three courses as a load of two courses; while at a research university, two and three course loads are equally common. This suggests that 3+2 course loads are common in research universities (see Footnote 15) and that faculty in comprehensive universities are more likely to have a 3+3 load.

There are several factors that make the relationship between course loads and total teaching hours less than straightforward. The subject matter, the number and level of students taught, faculty experience, the extra time needed to prepare for new courses, differences in evaluation and teaching methods, the number of different as opposed to repeat sections of the same course, and so on, will all lead to variation in the total teaching time required to teach a given course.

A simple model of the relationship between the number of courses taught and total teaching hours might assume that there is a more or less standard amount of time required to teach one course and that the total amount of teaching time would be some multiple of this. If this model

Figure 14: Distribution of Course Loads by Type of Institution for Faculty with Full Course Loads - Ontario

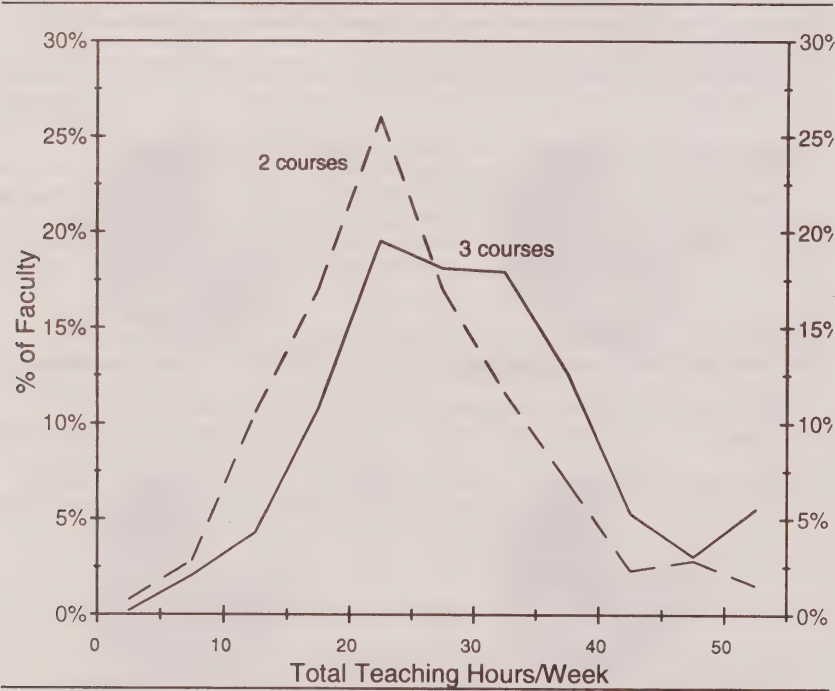


18. Course loads greater than three will typically arise when faculty are teaching extra courses or are responsible for reading courses or other specialized courses with limited enrolments.

one course and that the total amount of teaching time would be some multiple of this. If this model were true, the correlation between teaching time and the number of courses would be close to 1.0. In fact, the correlation is only 0.22 which suggests that there may be only a weak relationship between teaching hours and courses taught¹⁹.

Figure 15 shows the distribution of total teaching hours for faculty with two and three course loads. On average, faculty with a two course load reported spending about 24 hours/week on teaching related tasks. Faculty with a three course load reported teaching 29 hours/week. Except for the higher concentration around the average course load among faculty with a two course load, the two distributions are similar in shape. The distribution of time spent teaching for faculty with a three course load is simply shifted to the right by five hours. There is a high level of variation in both distributions. The range in teaching hours for the 50% of faculty on either side of the median teaching hours is 17-30 hours for faculty with a two course load and 22-35 hours for those with a three course load. The other 50% of faculty have teaching hours outside these ranges.

Figure 15: Distribution of Total Teaching Hours by Course Load - Ontario



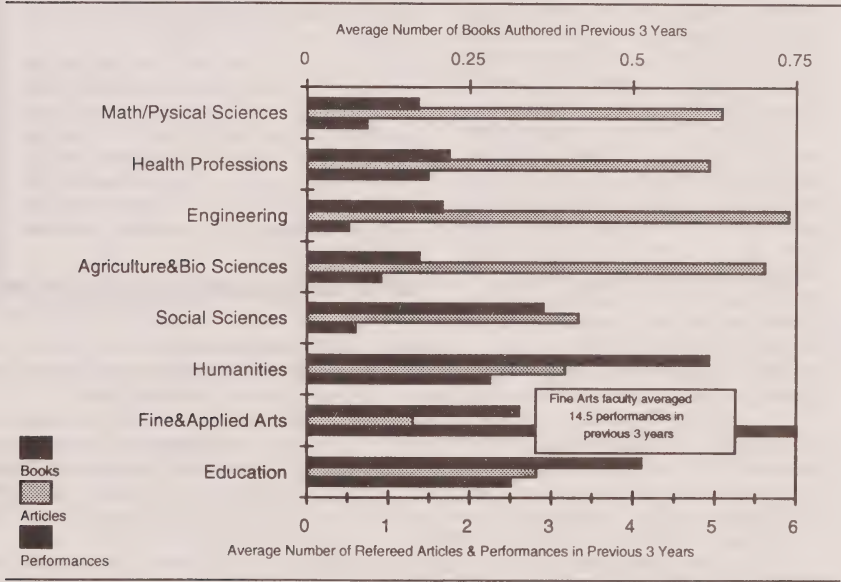
19. See the statistical analysis in Appendix D which examines the effect of course loads and other factors on the amount of time spent on teaching.

8.0 Faculty Research Productivity

The "research" process produces a wide variety of scholarly and creative outputs. The nature of these outputs is very diverse and the effort required to produce them varies greatly. While this makes the analysis of research productivity a very complex issue which would require a more detailed study than can be undertaken in this paper, some initial observations can be made.

The APIC survey asked about a limited number of different types of scholarly outputs²⁰. The three of most interest here are books (both singly and jointly authored), articles in refereed journals, and public exhibitions or performances. Figure 16 shows the average number of books, refereed articles, and performances/exhibitions that faculty in Canadian universities produced in the previous three years by academic field as reported in the APIC survey²¹.

Figure 16: Average Number of Books, Refereed Articles, and Performances/Exhibitions Produced in the Previous Three Years by Field - Canada



20. The specific question asked on the APIC survey was: "How many of each of the following types of scholarly/artistic contributions have you produced during the last three years?" The categories of scholarly products from the APIC survey which are analyzed here include a) "scholarly books" (both single and joint authorship), b) "scholarly chapters, articles in refereed books/journals", and c) "public exhibitions or performances as artist".

21. It is very common to measure research outputs in terms of counts of publications, performances, and so on. However, such simple numerical counts do not take into consideration the qualitative aspects of the output such as the effort required to produce it, its originality, the contribution it makes to the advancement of knowledge in its the field, or its potential social and economic value. A more thorough analysis of research productivity would have to consider the relation between the quantity and quality of research outputs.

The production of each of these three types of scholarly outputs varies by academic field. Faculty in the sciences, engineering and the health disciplines reported publishing more refereed articles than those in the social sciences, humanities and education and much more than faculty in the fine and applied arts. Faculty in the social sciences, humanities and education reported publishing more books than those in other disciplines. Faculty in the fine and applied arts reported giving about seven times as many public exhibitions and performances as reported by other faculty.

Data from the APIC survey suggest that some faculty are more productive than others when it comes to creating scholarly outputs. Faculty in mathematics and physical sciences, for example, are among the main users of refereed journals to disseminate their scholarly output. The 690 faculty in these fields responding to the APIC survey reported publishing a total of 3,429 refereed articles in the previous three years. Figure 17 shows that there is considerable variation in article publication rates. About 28% of faculty reported that they did not publish any refereed articles in the previous three years. Another 25% reported publishing one to three articles in the same three year period. The remaining 47% reported publishing four or more refereed articles during that period. Because not all faculty published refereed articles at the same rate, some faculty

account for a greater proportion of the total output of refereed articles than others. Among the mathematics and physical science faculty in the APIC survey, the one-half of all faculty with the highest publication rates reported producing over 90% of all refereed articles (Figure 17).

These figures are similar to those found in other studies. Belanger and Lacroix²² reported that, for the University of Montreal in 1985, 40% of the top producers of journal articles produced 91% of all the university's refereed publications. The 735 science and engineering faculty in US universities who responded to the 1989 Carnegie survey reported publishing over 3,500 "professional writings" in the previous two years. As was found in the APIC survey, about 90% of these publications were produced by 50% of the faculty (Figure 18).

The variation shown in the production of refereed articles among mathematics and physical science faculty in the APIC survey can also be seen among faculty in different fields for other types of research outputs. The humanities is an example of a field where book publication is an important output of the scholarly process. In the APIC survey humanities faculty reported authoring 508 books either alone or jointly. All of these books were produced by 213 or 40% of the 828 humanities faculty in the survey (Figure 19). Fine and applied arts faculty reported doing 2,348 performances or public exhibitions. 93% of these were done by 50% of the faculty (Figure 20). Though tentative, these findings suggest that the unequal distribution of research and scholarly activity seen among faculty for refereed articles, books, and performances/exhibitions in the selected fields may be common across all fields and for different types of scholarly and creative outputs.

Analysis of Research Productivity

The graphs on pages 237 and 238 analyze research productivity in terms of *rate of production* and *share of total output*.

The *rate of production* is expressed as publications or performances produced per year. This rate is used to group faculty by productivity and order the groups along the X-axis of the charts.

The *share of total output* analysis asks the question "Do all faculty share equally in the production of the total research output (measured in terms of number of refereed articles, books, and performances)?" If all faculty contribute equally, then 20% of the output will be produced by 20% of the faculty and so on. The graphs show this equal productivity curve as well as the actual productivity curve.

22. Charles Belanger and Robert Lacroix, "Faculty Workload: Who Does the Work?", unpublished paper based on the report *La poursuite de l'excellence*, Report of the Task Force on Priorities, Academic Planning Committee, University of Montreal, 1985.

Figure 17: Production of Refereed Articles - Mathematics and Physical Science Faculty, Canada

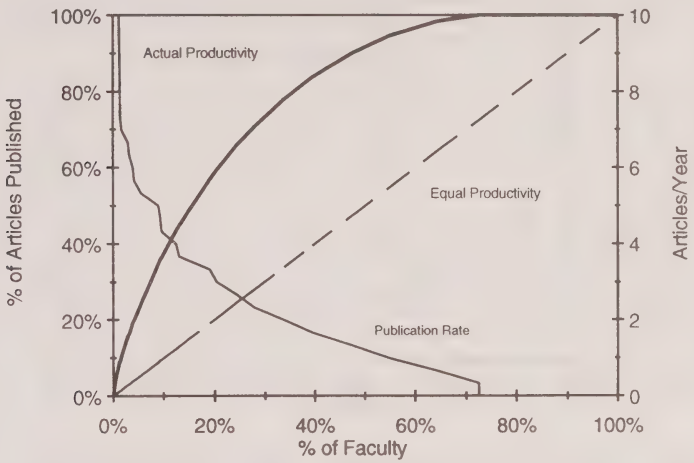


Figure 18: Production of Professional Writings - Engineering and Science Faculty, United States (Carnegie Survey)

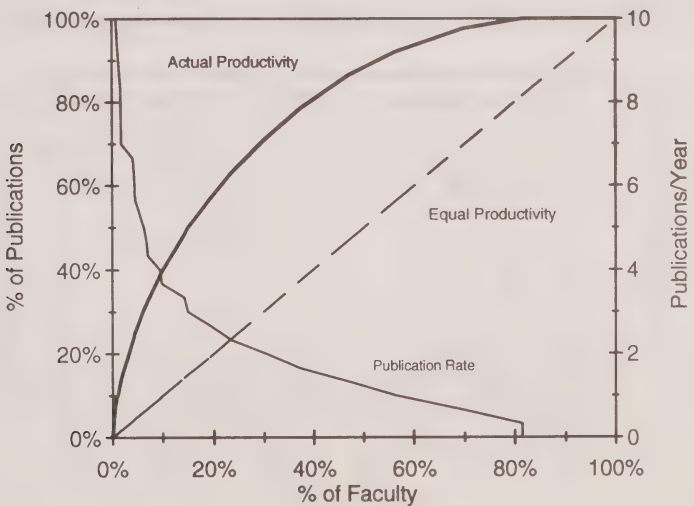


Figure 19: Production of Books (Single and Joint Authored) - Humanities Faculty, Canada

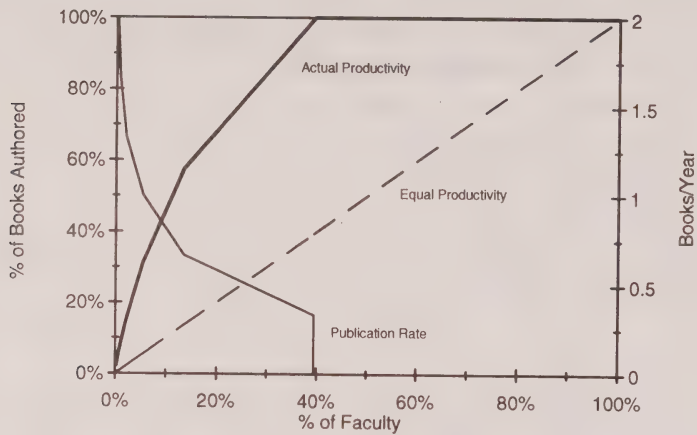
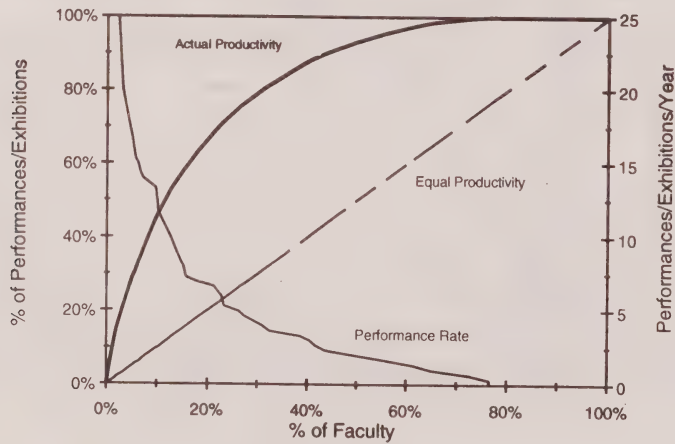


Figure 20: Production of Performances/Exhibitions - Fine Arts Faculty, Canada



The relatively high research productivity of some faculty raises the question as to whether this productivity comes at the expense of productivity in other areas, specifically teaching. To assess the relation between research performance and teaching effort, the mathematics and physical science faculty in the APIC survey were divided into four equal groups according to the number of refereed articles that they published in the previous three years. The 25% of faculty in the group with the highest publication rates produced about 75% of the reported articles. Those in the bottom 25% produced no refereed articles in the previous three years.

The 25% of faculty who reported publishing the most refereed articles also reported working, on average, 51 hours/week and spending 24 hours/week on research and 20 hours/week on teaching during a teaching term (Table 6). Those in the lowest 25% of article productivity reported working 43 hours/week and spending 12 hours/week on research and 24 hours/week on teaching during a teaching term.

These findings suggest that the number of refereed articles that faculty produce is related to the amount of time spent on research. Faculty in the group with the highest publication rates reported spending about twice as much time (12 hours/week more) on research than those who published no refereed articles during the previous three years. These 12 hours/week came from two sources. First, high performance researchers worked in total about 8 hours/week more than the low performance group. Second, they spent about 4 hours/week less on teaching. In relative terms, high producers of refereed articles spend about twice as much time on research as those in the lowest performance group and about 16% less time on teaching (Figure 21). Nevertheless, when the average course loads of the two groups are compared, they are virtually identical (Table 6)²³.

It appears then, that a high level of research productivity may not necessarily come at the expense of teaching productivity. Again this is consistent with Belanger's findings in which the 40% of faculty with the highest publications rates at the University of Montreal carried teaching loads that were only 3% below the institutional average. These findings are tentative and clearly call for more detailed study. For example, while faculty with high publication productivity carry course loads similar to those who do very little publishing, it is not an uncommon practice to assign research-oriented faculty upper level undergraduate and graduate courses with smaller enrolments, lower preparation requirements, and so on. Once these other factors are taken into consideration, it may be that teaching productivity is more sensitive to changes in research productivity.

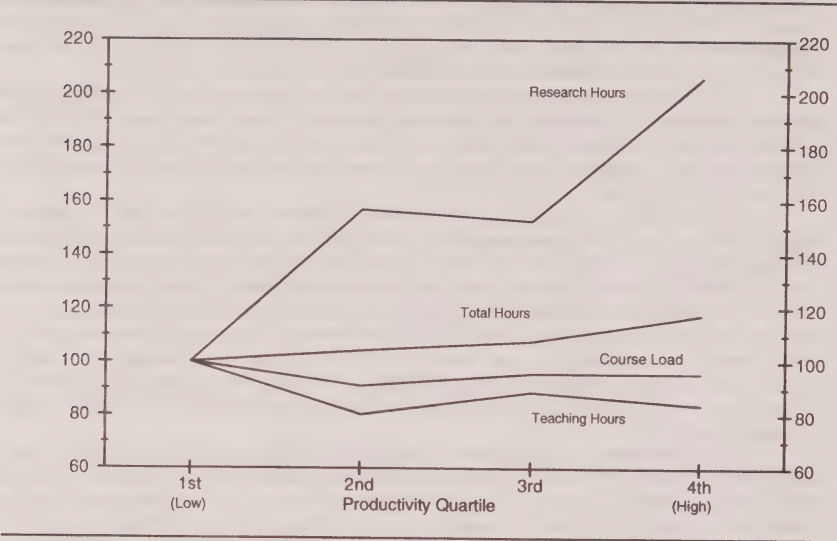
TABLE 6: AVERAGE HOURS SPENT ON VARIOUS ACTIVITIES AND AVERAGE COURSE LOADS BY REFEREED ARTICLE PRODUCTIVITY - CANADA, MATHEMATICS AND PHYSICAL SCIENCE FACULTY

	Teaching	Research	Administration	Total Hours	Courses Taught
1st Quartile	24	12	6	43	2.2
2nd Quartile	20	18	7	45	2.0
3rd Quartile	21	18	6	47	2.1
4th Quartile	20	24	5	51	2.1

Note: 1st quartile includes the 25% of faculty with the lowest number of publications in the previous three years. The 4th quartile includes those with the most publications.

23. Because of limitations in the APIC survey, this analysis is restricted to the use of time in teaching terms. Figures from the APIC and Bertrand surveys suggest that faculty spend about fifteen weeks per year on research and that seven of these occur in non-teaching terms. Therefore, a more detailed analysis would have to consider the relationship between research productivity and the use of time in non-teaching terms as well.

Figure 21: Relative Effect of Differences in Production of Refereed Articles on Various Workload Components - Canada, Mathematics and Physical Science Faculty



9.0 Summary

In a twelve-month period faculty typically conduct formal courses for up to thirty-two weeks; they have a period of time, usually around sixteen weeks, during which they have no formally scheduled teaching duties except those associated with student thesis supervision; the remaining four weeks of the year is usually vacation time. Faculty in Ontario universities report working between 50-60 hours per week during the teaching term. This is typical of the total hours worked reported by faculty at other universities in North America in a teaching term.

The distribution of faculty time across teaching, research, community service and administration is also similar across universities in North America. Data from the Academic Professions in Canada (APIC) survey showed that Ontario faculty spent, during a teaching term, about 49% of their time on teaching, 26% on research, 11% on community service, and 14% on administration. This allocation of time varied by institutional type with faculty at research-intensive universities spending somewhat less time on teaching and more on research. Characteristics of faculty members and their position on their career path generally had only small effects on the way in which faculty spent their time. While average faculty workloads are structured in a similar way across many jurisdictions, there is a considerable variation in how individual faculty members spend their time. This variation cannot be accounted for by differences in faculty characteristics.

Most faculty at Ontario universities report teaching between two and three courses per term. Reported course loads vary by institution type. A course load of three courses per term is more common in comprehensive types of institutions than it is in research-intensive institutions.

Findings from the APIC survey suggest that there is a wide variation in research productivity among university faculty. For example, 90% of the refereed articles reported by mathematics and physical science faculty on the APIC survey, were produced by about one-half the faculty. It also appears that high research productivity may not always come at the expense of teaching productivity.

Appendix A

Data Sources

Academic Profession in Canada (APIC)

Early in 1986, The Institute for Social Research (ISR) at York University conducted a national survey of academics in Canadian universities entitled the Academic Profession in Canada. The principal investigator for the survey was Dr. Jos. Lennards, Professor of Sociology, Glendon Campus, York University.

The survey provided information on: the nature of academic activities and preferences; approaches and attitudes towards teaching; perception of and attitudes toward administration, local institutions, and the system of higher education in general. It also provided information on faculty workloads. The survey was similar in design and content to a number of the large surveys of US faculty.

A sample, stratified by region and institution size, was selected and questionnaires were mailed to over 10,000 full-time faculty or about one-third of the faculty at the 52 largest universities in the country. Nationally, 5,217 responses were received; 1,820 of these were from Ontario. Faculty from Ryerson Polytechnic University and the Ontario College of Art were not included in the survey.

The data from the APIC survey were purchased from The Institute for Social Research for use in the Task Force on Resource Allocation study of academic work. Charts, tables, and analyses in this paper which are based on the APIC survey data were developed by Task Force research staff.

Council on University Planning and Analysis (CUPA) and Ontario Council on Graduate Studies (OCGS)

The CUPA/OCGS study was done specifically for OCUA's Resource Allocation Review. It was based on estimates of faculty workloads provided by some 20-30 department chairs and deans representing a cross section of departments from most Ontario universities. The study was not done at the level of individual faculty nor did it cover all departments and universities in the province. (See summary of study in Appendix E.)

The study provides estimates of the average amount of time in a teaching term spent on teaching (33.5 hours/week), research (14.9 hours/week), and departmental meetings (2.5 hours/week). It did not cover external service nor other types of administrative work. This means that the CUPA/OCGS data cannot be used directly to estimate the proportion of faculty time devoted to the four workload components.

For the purposes of the Task Force on Resource Allocation research, the missing time in the CUPA/OCGS study can be estimated as follows:

$$\begin{aligned}\text{Total time} &= \text{teaching} + \text{research} + \text{dept meetings} + \text{other admin} + \text{service} \\ &= 33.5 + 14.9 + 2.5 + \text{other admin} + \text{service}\end{aligned}$$

Other studies suggest that service accounts for about 10% of faculty time and that the total time devoted to administration is about 14% (see Table 9). These figures can be used to estimate the missing components in the CUPA/OCGS study as follows:

$$\begin{aligned}\text{service} &= .10 \times \text{Total time} \\ \text{and} \\ (2.5 + \text{other admin}) &= .14 \times \text{Total time}\end{aligned}$$

Solving for these equations gives the results shown in Table 7.

TABLE 7: ESTIMATES OF WORKLOAD COMPONENTS IN A TEACHING TERM FROM THE CUPA/OCGS STUDY

	Hours/Week	%
Teaching	33.5	53
Research	14.9	23
External service	6.4	10
Administration	8.9	14
Total	63.7	100

The total hours/week of 63.7 is high compared to other studies which suggest 50-60 hours/week. However, the percentage of time allocated to teaching and research is within the range found in some other jurisdictions (see Table 3).

Carnegie, 1989

This refers to the National Survey of Faculty, 1989 conducted by the Carnegie Foundation for the Advancement of Teaching. The Carnegie survey is similar in design to the APIC survey. It sampled 10,000 faculty in universities and four and two-year colleges across the US and had 5,450 respondents. See review of the study in Appendix B: A Review of Faculty Workload Studies. Data from this and earlier Carnegie studies are in the public domain and may be acquired from the Roper Center for Public Opinion Research, P.O. Box 440, Storrs CT 06268-0440; (203) 486-4440.

Charts, tables, and analyses based on the Carnegie survey data were developed by Task Force on Resource Allocation research staff. The analysis presented here is based on the 3,794 responses received from faculty in universities classified by the Carnegie Foundation as either research, doctoral, or comprehensive.

Bertrand

This was a survey of faculty in Quebec universities which was done in the 1990-91 academic year. 8,200 questionnaires were mailed to Quebec faculty in the spring of 1991. The Bertrand study is based on 2,496 usable responses. The survey provides an extensive coverage of workload issues and is one of the few surveys to consider what faculty do in non-teaching terms.

Figures used in this paper come from: Denis Bertrand, R. Foucher, R. Jacob, B. Fabi, and P. Beaulieu, Le travail professoral remesuré, Presses de l'Université du Québec, 1994.

Duxbury

Linda Duxbury, Louise Heslop, and Judith Marshall of the School of Business at Carleton University conducted a survey of Carleton University faculty in 1992. Questionnaires were sent to all 712 full-time tenure track, tenured and confirmed faculty. 312 completed questionnaires were returned. The survey considered faculty workload in relation to family roles.

Figures used in this paper are based on figures from an unpublished paper by Duxbury, Heslop and Marshall.

National Survey of Postsecondary Faculty, 1988 (NSOPF-88)

This was a major survey of US faculty conducted in 1988 by the National Center for Educational Statistics of the US Department of Education. 8,798 faculty at US universities and other four-year schools were surveyed. 6,798 responses were returned. The survey is described

more fully in the bibliographic entry for Susan Russell in Appendix B: A Review of Faculty Workload Studies.

All figures used in this paper come from the Russell publications described in Appendix B.

Ladd/Lipsett

This refers to the 1977 Survey of the American Professoriate, 1977 done by E.C. Ladd and S.M. Lipsett. The survey was distributed to 8,697 faculty at 160 US universities and two-year colleges. 4,607 responses were received.

All figures used in this paper come from E.C. Ladd, "The work experience of American college professors: Some data and an argument", Current Issues in Higher Education 25,3-12, 1979.

Faculty at Work

This refers to a 1988 study entitled Faculty at Work: A Survey of Motivations, Expectations, and Satisfaction, sponsored by the US Department of Education's Office of Educational Research and Improvement and the National Center for Research to Improve Postsecondary Teaching and Learning at the University of Michigan. 8,000 faculty at US institutions were surveyed. 4,400 responses were received.

All figures used in this paper were cited by Alene Russell in Faculty Workload: State and System Perspectives, State Higher Education Executive Officers, Denver, Colorado, 1992.

Nevada

This survey of university and college faculty in Nevada was conducted by the Nevada University and Community College System in 1992. 1,198 full-time faculty responded to the survey. The survey is described more fully in Appendix B: A Review of Faculty Workload Studies.

All figures used in this paper come from the report Fall 1992 Faculty Workload Study which described in Appendix B.

Arizona

This survey of faculty in Arizona's public universities was done by the Arizona Board of Regents in 1991. Of the 3,422 full-time faculty surveyed, 2,580 responded. The survey findings are described in the Stephen Jordan and Daniel Layzell report A Case Study of Faculty Workload Issues in Arizona which is described in Appendix B: A Review of Faculty Workload Studies.

All figures used in this paper come from the Jordan and Layzell report.

Appendix B

A Review of Faculty Workload Studies

This Appendix provides an annotated bibliography of some recent faculty workload surveys in the United States and related material. The abstracts are from the ERIC database. For a review of less recent faculty surveys see Harold Yuker, Faculty Workload: Research Theory and Interpretation, ASHE-ERIC Higher Education Research Report No. 10, Association for the Study of Higher Education, Washington, D.C.; 1984 and John W. Creswell et al., "The characteristics and utility of national faculty surveys", New Directions for Institutional Research (No. 69 Using National Data Bases) 18(1),41-59, 1991.

Astin, Alexander W. et al., The American College Teacher. National Norms for the 1989-90. The HERI Faculty Survey, California University, Los Angeles. Higher Education Research Institute and American Council on Education, Washington, D.C., 1990.

This report summarizes the highlights and presents statistical data (two-thirds of the report) from a national survey of 35,478 full-time college and university faculty members at 392 two-year colleges, four-year colleges and universities, carried out in the fall and winter of 1989-90. The 200-question survey focused heavily on how faculty members spend their time, how they interact with students, their preferred methods of teaching and examining students, their perceptions of the institutional climate, and their primary sources of stress and satisfaction. Among the findings were the following: (1) although 98 percent gave teaching a high priority, 28 percent preferred research over teaching and 27 percent felt that institutional pressures to do research and publish interfered with their teaching; (2) half the faculty in private universities spent more than 12 hours per week doing research and writing, compared to less than 20 percent of faculty in 4-year colleges and 3 percent in the community colleges; (3) faculty were most satisfied with their autonomy and independence and job security; and (4) compared to their private counterparts, professors in public institutions gave higher priority to preparing students for employment and conducting research. The appendix contains the survey instrument. Contains two references.

Boyer, E.L., The Condition of the Professoriate: Attitudes and Trends, 1989, Carnegie Foundation for the Advancement of Teaching, Princeton, NJ., 1990.

Results of the fourth annual survey of over 5,000 college faculty in all types of higher education institutions are reported. The information gathered is organized in eight categories: the goals of collegiate education; academic standards; attitudes about student life; teaching, research, and service; the status of the profession; views of the institution; participation in decision making; and general observations. Following an introductory narrative summary, results are presented in 104 tables within those categories. Data are arrayed by faculty age, gender, professional discipline, and institution type. Three major issues are identified: (1) some optimism but also great concern about aspects of academic quality, particularly the quality of students; (2) conflict between faculty interest in teaching and requirements for published research; and (3) respect for the institution and their role in it, but concern about institutional administration. The 1987 Carnegie classification of colleges and universities is appended, along with technical notes.

Heydinger, Richard B., An Agenda for Reshaping Faculty Productivity: State Policy and College Learning, State Higher Education Executive Officers Association and Education Commission of the States, Denver, Colo., 1992.

This publication, one of a series examining the issue of faculty workload and productivity, argues that the key to institutional change in higher education is the role of college faculty and offers recommendations for improving and measuring college faculty productivity. The paper begins with a conceptual model for discussing faculty productivity, both past and future, followed by a brief historical outline of the history of faculty productivity in American higher education. Examined are today's pressures on higher education and faculty productivity, as well as productivity comparisons in other occupations. The paper concludes with an eight-point agenda for reshaping faculty productivity. The recommendations cover (1) increasing the proportion of annual personal rewards while preserving academic freedom and tenure; (2) the development of clear productivity standards and accountability; (3) the retention of flexibility for faculty to set their own agenda; (4) the offering of incentives and rewards that reinforce institutional or departmental objectives; (5) integrated responsibility for managing both revenues and costs; empowerment of those assisting in executing the agenda; (6) the requirement to manage revenues, values, and outcomes of productivity, not just the costs or budget allocations; (7) empowerment of higher education's "customers"; and (8) the need to "manage" to institutional objectives and value creation, not to the regulation of faculty behavior.

Jordan, Stephen M., A Case Study of Faculty Workload Issues in Arizona: Implications for State Higher Education Policy, State Higher Education Executive Officers Association and Education Commission of the States, Denver, Colo., 1992.

This study examined college faculty workloads within the context of accountability. The report first provides an overview of the current structure of faculty workload; second, presents the findings of one specific faculty teaching and workload study conducted in Arizona; third, discusses the implications for higher education policy derived from the Arizona case study; and fourth, suggests some incentives for changing faculty workload. The Arizona study of 2,580 full-time faculty showed that ranked faculty generally taught at the upper and graduate course levels, and that, due to this distribution, other teaching personnel such as graduate assistants and adjunct faculty spend proportionately more time overall in regular scheduled classes than do ranked faculty. Study findings indicated that faculty worked an average of 56.3 hours per week; that instruction and class preparation constituted just under 50 percent of faculty workload; and that research and creative activity occupied one-third of faculty time, institutional service and administrative duties, 14 percent, and public service, 6 percent. The implications of these findings are discussed within the context of the institution's role and mission, budgetary efficiency, quality and access, and governance. The paper concludes with a brief examination of faculty workload and state-level financial support.

Leslie, David W., "A Comparison of Carnegie and NCES Data on Postsecondary Faculty: Ambiguities and Disjunctures", Research in Higher Education 33(4), 447-65, Aug 1992.

This paper compares the results of National Center for Education Statistics (NCES) and the Carnegie surveys of postsecondary faculty and notes the differently constructed samples, the different response rates, and different weighting schemes in analysis and interpretation. Inconsistencies in the surveys' results are identified and methodological and interpretive issues are raised.

Massachusetts State Legislature, Senate Committee on Post Audit and Oversight, A Review of Faculty Workload Policies and Faculty Workloads at the University of Massachusetts at Amherst. Report of the Select Committee on Post Audit and Oversight. Senate No. 1785, Boston, 1993.

This Massachusetts Senate committee study examined the current policies and procedures used by the University of Massachusetts at Amherst (UMA) to monitor, manage, and report on the activities of its faculty, in particular its faculty workload. The study had originally intended to analyze faculty workload in terms of instruction (teaching), research, and public service. Due to insufficient reporting systems on faculty activity, an examination of instructional activities alone was conducted and from this inferences relative to other duties were drawn. The study found that state appropriations to the university had been drastically reduced and that lost revenues had been replaced in part by the university through substantial increases in student tuition and fees; that faculty contact with students in traditional classroom settings appeared to have increased between academic years 1988-89 and 1991-92 despite reductions in the faculty workforce and enrollment; that the faculty at UMA spent between 29 and 98 percent of their work week on teaching activities; and that current faculty workload reporting systems at the University do not adequately report faculty activities especially those related to the research and public service mission of UMA. The report includes recommendations which focus on formalizing faculty workload policies. Appendixes contain information on instructional resources, recent faculty activity assessments, student faculty ratios, faculty contact hours, and a response from UMA.

Nevada Univ. and Community College System, Office of the Chancellor., The University and Community College System of Nevada. Faculty Workload Study, Fall 1992, Reno Nevada, 1993.

In response to declining state resources, institutions often increase faculty/student ratios and teaching loads to help balance budgets. In order to gain a clearer sense of the consequences of such courses of action, the University and Community College System of Nevada (UCCSN) undertook a survey of the total workload of all full-time instructional faculty employed during the fall 1992 semester. In the survey, faculty were asked to report the average amount of time per week they devoted to teaching, research, and service activities. Survey findings, based on a 90% response rate, included the following: (1) community college faculty reported spending an average of 59.9 hours per week on professional activities, while university faculty reported an average of 58 hours per week; (2) all UCCSN faculty spent the majority of their time in teaching and teaching-related activities, with community college faculty spending 45.8 hours per week and university faculty spending 35 hours per week; (3) community college faculty spent 16 hours per week in the classroom and taught approximately 5 courses and 107 students per semester; (4) university faculty spent 9.2 hours per week in the classroom and taught approximately 3 courses and 76 students per semester; (5) community college faculty reported spending an additional 6 hours per week on research/scholarship activities, 6.7 hours on internal service, and 1.6 hours on public service; and (6) university faculty reported spending an additional 14.5 hours per week on research/ scholarship, 6.8 hours on internal service, and 1.6 hours on public service. The survey instrument is appended.

Russell, Alene Bycer, Faculty Workload: State and System Perspectives. State Policy and College Learning, State Higher Education Executive Officers Association and Education Commission of the States, Denver, Colorado, 1992.

This paper presents the results of a study on faculty workload undertaken by the State Higher Education Executive Officers (SHEEO) as part of its ongoing interest

in issues of cost and productivity in higher education. The survey not only included responses from SHEEO members in the 50 states, but also from multi-institutional system governing boards, including community college boards, for a total of 71 responses. The paper is organized into four sections. The first section summarizes national survey data on faculty workload and opinions about teaching/research issues. The second section explores state- and system-level issues and priorities and places faculty issues into this broader context. The third section examines the actions of SHEEO agencies, system-level boards, and state legislatures in setting policies and standards regarding several faculty issues, namely: (1) the number and types of faculty; (2) workload; (3) tenure and evaluation; (4) compensation; and (5) use of part-time faculty. The final section focuses on data collection and analysis efforts, exploring the kinds of efforts being made, how data are used and future needs and expectations. Appendix A describes the survey methodology and includes a description of the sample and response rates for various sub-samples. Appendix B contains the survey instrument, and Appendix C consists of supplementary tables.

Russell, Susan H. et al., Profiles of Faculty in Higher Education Institutions, 1988. Statistical Analysis Report, National Center for Education Statistics, Department of Education, Washington, D.C., 1988.

This report provides statistical information on faculty in colleges and universities collected through a national survey conducted in 1987-88 by the National Center for Education Statistics. The data were collected from institutional academic officers, department chairpersons, and faculty members. This report focuses on five topics around which the five chapters are organized: (1) "Patterns of Faculty Separation and Retirement" (full-time regular faculty only); (2) "Faculty Activities and Workload" (workload and time allocation, productivity, and job satisfaction); (3) "Faculty Compensation" (monetary compensation and employee benefits); (4) "Women and Minorities in Higher Education" (information on type and control of institution, program area, highest degree, employment status, age, employment experience, workload, compensation, job attitudes); and (5) "Part-Time Faculty in Higher Education" (demographic data, academic background, experience, workload and activities, compensation and benefits, and job attitudes). Each chapter constitutes a report offering background, highlights of the findings, the data tables themselves and a summary. The document also includes over 50 references, and appendixes containing technical notes, standard error tables and the survey instrument.

Russell, Susan H. et al., Faculty in Higher Education Institutions, 1988, National Center for Education Statistics, Department of Education, Washington, D.C., 1988.

The 1988 National Survey of Postsecondary Faculty surveyed 7,408 full- and part-time regular faculty, department chairpersons, and institutional representatives of 480 nonproprietary accredited U.S. institutions of higher education granting a two-year or higher degree. The survey, conducted between December 1987 and October 1988, examined demographic characteristics, workload, compensation, retirement plans, and job satisfaction. Major findings included: the typical full-time faculty member is a white middle-aged male with tenure; racial/ethnic minorities comprised only about 10% of the full-time faculty, and women only 27%; the average full-time faculty member reported working a total of 53 hours per week for an annual income of about \$49,000; a high percentage of full-time faculty were satisfied with such job dimensions as academic freedom, colleagues, and job security; fewer were satisfied with their salaries, institutional authority and leadership. On most issues higher percentages of part-time rather than full-time faculty indicated satisfaction though part-time faculty were less satisfied with benefits, job security, and opportunity for advancement. Plans to retire or otherwise leave their job within three years of the survey were reported by nearly

one-fourth of full-time and one-third of part-time faculty. Appendixes provide technical notes, standard error tables, and the survey questionnaire.

Serpe, Richard T. et al., CSU Faculty Workload Study. Final Report, California State Univ., Fullerton. Social Science Research Center, 1991.

This report presents findings of a study that compared faculty workloads and the activities of department chairs and temporary faculty both within and between the California State University (CSU) 20 campus system and a comparable set of thirty-five institutions located throughout the United States. Study findings address the following issues: permanent and temporary faculty hours worked and allocation of time to activities; permanent and temporary faculty research, creative, and professional activities; permanent and temporary faculty teaching load and teaching activities; department chairs' hours worked and time allocations; comparison of chairs' research and creative activities; chairs' teaching load and teaching activities; chairs' evaluations of faculty satisfaction and wants; gender differences in faculty workload; and ethnic differences in faculty workload. Included among the findings are the following items: (1) estimates regarding the length of the work week are extremely varied; (2) regardless of rank, greater levels of dissatisfaction were reported by CSU faculty for institutional support for workload; (3) CSU faculty spent considerably less time performing or giving exhibitions in the fine arts than the national sample did, regardless of the size of institution; and (4) CSU faculty spent a significantly greater percentage of time on instructional paperwork and research and scholarly activities across the ranks. Appendices include administrative forms and discipline category analyses.

Utah State Office of the Legislative Auditor General, A Review of Two Higher Education Accountability Issues: Student Assessment and Faculty Workload, Report to Utah State Legislature. Report Number 91-03, Salt Lake City, Utah, 1991.

This report, in examining higher education accountability, reviews how student assessment is used nationally and in Utah to improve higher education accountability, and reviews the methods used in Utah to monitor faculty workload. Student assessments do provide a direct method of evaluating higher education effectiveness, and Utah's institutions are now developing student assessment programs to meet Board of Regents' and accreditation requirements. Institutional commitment and progress, however, varies widely, and it is suggested that the Utah State Legislature should act to spur greater efforts in developing these assessments at those institutions where their development is found to be at an unsatisfactory pace. Legislative alternatives are discussed. The report states that acquiring more information on faculty workload will require considerable political and administrative effort to overcome the barriers which now limit its availability. Obstacles to the availability of this information and problems with existing reports on faculty workload are identified. A past effort to collect workload data shows differences in teaching loads among Utah System of Higher Education (USHE) institutions that may be important to legislators or the public. However, the report data is incomplete and may not be accurate, suggesting that the legislature may wish to authorize regular reports on faculty workload. Appendixes provide USHE institutional progress reports on student assessment programs and activities.

Appendix C

Measurement of Workload in the APIC Survey

There are two approaches used in measuring workload components in faculty activity surveys. In the first, faculty are asked for the total hours worked per week and then are asked to report the percentage of time spent on various activities. The other approach is to ask directly about the number of hours spent on each component. This is the method used in the Carnegie survey for all activities and in the APIC survey for teaching, research, and administration.

The first method yields good estimates of total hours but may not give good estimates of time spent on the different activities. The ability of the second method to produce good estimates of total hours worked depends upon the completeness of the list of workload components. However, it does tend to produce better estimates of time spent on the components themselves than the first method.

The workload components covered by the APIC survey include teaching, research, administration, consulting, and professional activities. Respondents were asked about hours spent on teaching, research and administration. However, they were not asked for hours spent on consulting and professional activities. Instead, they were asked for an estimate of the percent of their time which was spent on these activities.

Teaching

Teaching workload is measured both in hours per week and course load. The specific questions asked in the survey for these two items are:

20. How many different courses (not sections of the same course) are you teaching this term at each program level?

Undergraduate level _____
 Graduate level _____

21. During the present term, how many hours per week, on average, are you actually spending on each of the following activities?

- a) Clinical, practice supervision of students _____
 b) Scheduled teaching (actual class hours) _____
 c) Direct preparation for teaching _____
 d) Advising and counselling individual students _____

These two questions were preceded by the following note:

If you were between terms, on sabbatical leave, or on leave of absence, please answer the following two questions with respect to the full term most recently completed.

Total hours spent on teaching is the sum of all the hours identified in question 21.

In analyzing teaching load, it is important to know whether the faculty member has a full or partial teaching load. This is measured in a number of different ways throughout the survey. The most direct measure is the question immediately preceding the two teaching load questions.

19. During this term are you carrying what your department considers a full teaching load?

Yes, I carry a full teaching load
 No, I am on a reduced teaching load
 No, I am on sabbatical leave
 No, I have a leave of absence

In the sections of the questionnaire dealing with university governance and research the following two questions were asked:

42. Do you carry a reduced teaching load because of any of your administrative duties?
Yes
No
61. Do you carry a reduced teaching load because of any of your research involvement?
Yes
No

The responses to these two questions were not consistent with the response to question 19. For example, about 300 respondents who reported that they had a full teaching load in question 19, also reported that they carried a reduced load in question 42. Therefore, a new data element was constructed to indicate whether a faculty member had a reduced teaching load for any reason. This comprehensive measure of reduced teaching load is used in the analysis presented here.

Administration and Research

In the sections of the questionnaire dealing with university governance and research the following two questions were asked about time spent on research and administration:

44. During the present term, how many hours per week, on average, are you actually spending on administrative and committee related activities?
62. During the present term, how many hours per week, on average, are you able to set aside for your own professional reading/research/writing?

Consulting and Professional Practice

In the section of the questionnaire dealing with research the following question was asked:

64. On average, what proportion of your work time during the regular academic year is devoted to the following activities:
- a. Consulting (with or without pay)?
None
1-10%
11-20%
21-30%
31% or more
- b. Outside Professional practice?
None
1-10%
11-20%
21-30%
31% or more

Responses to these questions were used to estimate the amount of time devoted to external service.

Total Hours of Work

Unlike some other faculty workload surveys, the APIC survey does not ask for total hours of work. Instead it asks about the number of hours spent on a number of specific activities. With such data the usual practice is to estimate the total hours as the sum of the components. However, this assumes that the list of activities is reasonably complete. This is not the case in the APIC survey which only collects hours-on-task information for teaching, research and administration. The time allocated to consulting and professional activities is only collected in percentage terms not in actual amount of time.

The analysis in this report uses an estimate of the total hours of work. If the true total hours of work is made up of reported teaching, research and administration time plus consulting and professional practice time, the percent of time spent on consulting and professional practice can be used to estimate the amount of time spent on them as follows:

$$\text{Total Hours} = \frac{\text{Total time on teaching, research, and administration}}{(1 - \text{fraction of time on consulting and professional activity})}$$

It is difficult to assess how well either of these measures of total hours reflects the true total hours that a faculty member works per week. In general, total hours of work should be taken as lower bounds on the actual total hours worked.

The distribution of faculty time across the various activities is based on this measure of total hours of work. For example the percentage of time spent on teaching is the *total hours of teaching time/total hours worked*.

Appendix D
A Statistical Analysis of the Factors Influencing Hours Spent on Teaching and Research

The high level of variation in the amount of time devoted to teaching and research (see Figures 7 and 8) raises questions about the possibility that there are systematic factors causing the variation. To explore this question two linear models¹ were constructed, one for total teaching hours and one for total research hours. The factors in the models included:

Factor	Rationale for consideration in model
Hours spent on research (teaching model only)	Time spent on research may mean fewer hours available for teaching.
Hours spent on teaching (research model only)	Time spent on teaching may mean fewer hours available for research.
Hours spent on administration	Time spent on administration may mean fewer hours available for teaching and research
Number of courses assigned	The number of courses assigned will probably increase the time spent on teaching and may also reduce the time available for research
Academic rank, tenure status, and years teaching	Position on career path may influence the relative balance between teaching and research
Gender	Female faculty generally teach more than male faculty.
Discipline	The balance between teaching and research may be affected by discipline.
Institution type	The time devoted to teaching and research is known to be affected by institution type and region.
Region	
Certification status of faculty association	If the faculty association is a certified bargaining agent, this may have an impact on workload structures.

1. Linear models are statistical models of the form

$$y = a + bx_1 + cx_2 + dx_3 + \dots$$

Such models are used to analyze how changes in the x s, the independent variables or factors, are related to changes in the dependent variable y . The parameters in the model, (a,b,c,d,...) are estimated using the "least squares" method common to regression analysis and the analysis of variance. Various statistics and tests of significance can be used to assess the relative impact of the factors on the dependent variable and the statistical stability of the parameter estimates.

Table 8 shows the relative effect of these factors on teaching and research hours². The data are from the APIC survey and only those faculty with a full-teaching load were considered in the analysis.

The most significant factors in explaining the variation in the number of hours spent on teaching are the number of courses taught and the hours spent on research. The other main factors are discipline, gender and institution type. The tests of statistical significance shown in the table indicate that career path factors (rank, tenure status, and years teaching) and the certification status of the faculty association do not have any effect on the number of hours spent on teaching.

The finding that the career path factors have no effect on hours of teaching is perhaps surprising. Because the three factors are closely interrelated, this finding may reflect the inability of the model to separate the effect of the three factors. To assess this possibility, tenure status was dropped from the teaching model. In the reduced model, the F statistic for academic rank rose to 3.16 with a probability of 0.01. This indicates that academic rank has an effect on teaching hours³. The number of years teaching still does not have any effect in the reduced model.

The most significant factors in explaining variation in the number of hours spent on research are hours spent on teaching, hours spent on administration, and gender. The other main factors are number of courses taught and institution type. Region and certification status are the only factors which do not have some effect on the number of hours spent on research.

Table 9 shows the parameter estimates for the significant factors in the models⁴. These estimates show how teaching and research hours change as the values of the various factors change.

Estimates for the teaching model show that, on average, the number of hours spent on teaching declines by 0.17 for each hour devoted to research and increases by 1.8 hours⁵ for each additional course taught. The effect of administration hours on teaching hours, though statistically significant, is very small. This suggests that administration does not compete with teaching for faculty time the way research does. The estimates also show that women spend

-
2. The F statistic shown in Table 8 is a measure of the effect of the factor after the effect of all the other factors have been taken into consideration. The larger the F statistic, the greater the effect. It is also a measure of the factor's relative ability to "explain" the variation in the teaching and research hours. The probability shown in the table ($Pr > F$) is the probability of being wrong in assuming that the F statistic is greater than zero. It is a measure of the confidence that should be placed in the estimated effect of the factor. Typically, if the probability is greater than .05, one would conclude that the effect is either zero or so poorly defined that it should not be taken seriously.
 3. Strictly speaking the analysis shows that either academic rank or tenure status, but not both, have an effect on teaching hours. The model and the data are not adequate to distinguish the effects of one factor from the other.
 4. The model contains two types of factors. Continuous factors such as the number of courses taught or years of teaching and discrete factors such as gender or academic rank. The parameter estimates (P) for the continuous factors are slopes in regression lines. They show how much the dependent variable changes for a unit change in the factor. For example, The estimate for hours of research in the teaching model is -0.17. This means that average teaching hours decline by 0.17 for each hour the faculty is spending on research. The estimates for the discrete variables show differences between a reference category and another category of the factor. For example, the "professor" category is the reference category in the academic rank factor. By definition its parameter has a value of zero. The parameter estimate for the "lecturer" category in the academic rank factor is 2.65 in the teaching model. This means that, on average, lecturers teach 2.65 hours/week more than professors. The probability ($Pr > |t|$) shown in the table is the probability associated with a t-test of significance. It is effectively the probability that the parameter estimate is zero. For continuous factors, this would mean that the factor has no effect on the dependent variable. For discrete factors, it means that there is no difference between a given category and the reference category; it does not mean, however, that there are no differences among other categories of the factor.
 5. This estimate suggests that the incremental time to teach an additional course is around 2 hours/week. This is less than the typical scheduled classroom time of a course and much less than the total time normally required to teach, prepare and evaluate student work for a course.

more time on teaching than do their male counterparts and that faculty in the humanities spend the most time on teaching and those in health the least.

Estimates for the research model show that, on average, the number of hours devoted to research declines by 0.14 hours/week for each hour spent on teaching, by 0.67 hours/week for each additional course taught and by 0.27 hours/week for each hour spent on administration. This indicates that both teaching and administration compete with research for faculty time. The estimates also show that women spend, on average, 2.8 hours/week less than male faculty on research; that full professors spend between 2 and 4 hours/week more on research than faculty in other ranks; and that faculty in the social sciences report spending more time on research than faculty in other disciplines.

Though the factors included in the model have a statistically significant effect on both teaching and research hours, they still explain only 16% of the total variation in teaching hours and 12% of the variation in research hours. This suggests that the observed variation in the time faculty devote to teaching and research is determined largely either by individual faculty choice or by factors not considered in the models.

TABLE 8: SIGNIFICANCE OF EFFECTS IN TEACHING AND RESEARCH MODELS				
	Teaching		Research	
	F	Pr > F	F	Pr > F
Hours teaching	--	--	76.75	0.00
Hours on research	76.75	0.00	--	--
Hours on administration	4.26	0.04	51.04	0.00
# courses taught	97.64	0.00	16.46	0.00
Academic rank	1.35	0.25	7.45	0.00
Tenure status	0.82	0.48	4.37	0.00
Gender	13.02	0.00	33.58	0.00
Years teaching	1.54	0.21	6.93	0.01
Discipline	16.05	0.00	5.27	0.00
Institution type	10.71	0.00	12.00	0.00
Region	5.23	0.00	0.06	0.98
Certification status	1.60	0.20	1.62	0.20
R-square	0.16		0.12	

TABLE 9: PARAMETER ESTIMATES FOR TEACHING AND RESEARCH MODELS

		Teaching		Research	
		P	Pr > T	P	Pr > T
Intercept		23.22	0.00	25.63	0.00
Hours teaching				-0.14	0.00
Hours on research		-0.17	0.00		
Hours on administration		0.08	0.04	-0.27	0.00
# courses taught		1.80	0.00	-0.67	0.00
Academic rank	Professor	0.00	--	0.00	--
	Assoc Prof	0.17	0.72	-2.23	0.00
	Asst Prof	1.78	0.00	-2.45	0.00
	Lecturer	2.65	0.02	-3.06	
	Other	0.58	0.66	-4.14	0.00
Tenure status	Tenured			0.00	--
	Tenure stream			0.41	0.54
	Other full-time			-1.50	0.08
	Other			-4.39	0.00
Gender	Male	0.00	--	0.00	--
	Female	1.80	0.00	-2.84	0.00
Years teaching				-0.08	0.01
Discipline	Agriculture/Bio Science	-0.81	0.29	-0.65	0.34
	Education	0.25	0.74	-3.34	0.00
	Engineering	-0.62	0.45	-2.33	0.00
	Fine Arts	1.13	0.28	-0.99	0.29
	Health	-5.20	0.00	-2.77	0.00
	Humanities	2.42	0.00	-0.57	0.30
	Math/Phys Science	-2.34	0.00	-1.56	0.01
	Social Science	0.00	--	0.00	--
Institution type	Research	0.00	--	0.00	--
	Doctoral	0.76	0.11	-1.22	0.00
	Comprehensive	3.00	0.00	-3.12	0.00
Region	Atlantic	0.54	0.44		
	Quebec	-2.01	0.00		
	Ontario	-0.59	0.21		
	West	0.00	--		

Appendix E

Report of the Ad Hoc CUPA/OCGS Committee on Faculty Activities

[This Appendix includes the executive summary from the Report of the Ad Hoc CUPA/OCGS Committee on Faculty Activities and a table from the report which summarizes the results of the CUPA/OCGS survey.]

Executive Summary

An ad hoc committee of the Council on University Planning and Analysis (CUPA) and the Ontario Council on Graduate Studies (OCGS) undertook a faculty workload study of the Ontario university system specifically to inform the Ontario Council on University Affairs (OCUA) Resource Allocation Review.

The committee surveyed randomly selected disciplines at each Ontario university. Within those disciplines, specific chairs selected by the appropriate deans, were asked to supply information about the faculty complement, plus average weekly instructional hours, office contact hours, research/scholarship hours, graduate supervision hours, and department committee hours. No workload data were requested about Senate, Board, or community service activities, since it was understood that this was to be the subject of a direct survey by OCUA. Data were analyzed and summarized for the Ontario university sector as a whole.

The analyses indicate that the average work week of a faculty member in an Ontario university is 51 hours. Instruction accounts for 66% of the time; research 29% and community service 5%. The community service component is understated by an unmeasured number of hours. The analyses were based upon full or partial responses from 96% of the provincially funded universities, representing 457.3 of the 9,534 appropriate faculty members in Ontario universities.

Comparative analyses show that an upper limit for the average workload may be 61 hours. Using the actual data, and the comparative analyses, the conclusion was drawn that the Ontario university sector average work week is in the range 51 to 61 hours, with instruction accounting for 55 to 66% of the time; research for 25 to 29%; and service for 5 to 20%. These ranges contain the typical workload hours and percentages found in other jurisdictions.

The project was hastily undertaken to provide information to inform the OCUA Resource Allocation Review process. The results are necessarily tentative and, by design, incomplete. The project was, given the severe time constraints imposed by the OCUA Resource Allocation Review schedule, the best that could be hoped for. The results should be treated with some caution.

Faculty Workload Summary

Average Instructional Hours/week	Average Hours/Week
Teaching contact hours	8.0
Course preparation time	10.9
Assessment time	7.0
Supervision/coordination	2.5
Total	28.3
Office contact hours/week	3.2
Research/scholarship hours/week	12.9
Graduate supervision hours/week	4.0
Hours/week on departmental committees	2.5
Total average hours/week	50.9

Source: Extracted from Report of the Ad Hoc CUPA/OCGS Committee on Faculty Activities, July 1994

Note: The CUPA study did not ask about external community service nor about all internal administrative activity.

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Ontario University Funding System

September 1994

1.0 Introduction

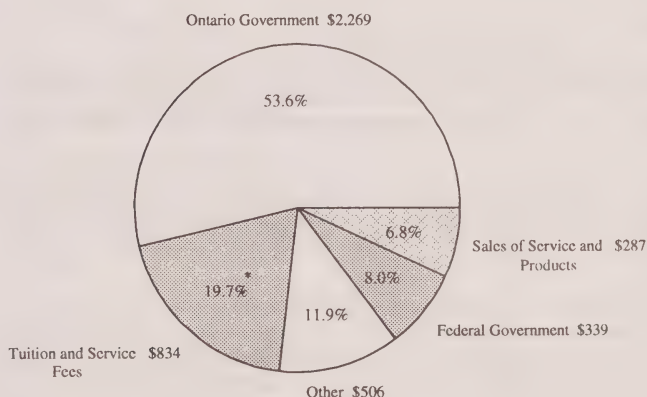
This paper is one of a series of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system for universities in Ontario.

The purpose of this paper is to provide background information on current funding of the Ontario university system. A brief overview of the revenues and expenditures of the Ontario university system is set out in Section 2. Within this context, details on how the Province of Ontario through the Ministry of Education and Training (MET) funds the operating activities of the university system are provided.

In 1992-93 (the most recent year for which financial information is available), the Ontario university system was a \$4,235 million¹ enterprise relying on the Ontario government for 53.6 per cent of its funding (see Figure 1). The Ontario government provided \$2,035 million in operating funding to its university system through a number of ministries, of which \$2,009 million was flowed through MET (see Figure 2).

Figure 1

Ontario University System Revenues by Source, 1992-93, \$4,235 Million



Source: COFO-UO Financial Report of Ontario Universities 1992-93, Volume I.

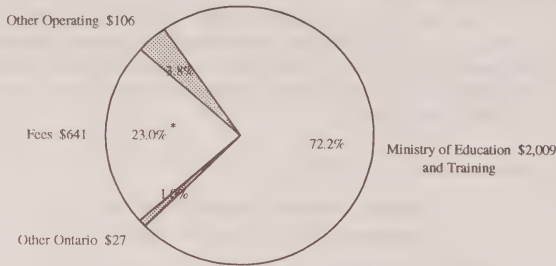
Note: Other includes \$155 million non-government grants and contracts, \$135 million investment income, \$131 million donations and \$85 million other revenues.

* For a discussion of costs allocated to teaching, research and community service, see *An Analysis of the Costs of Teaching, Research and Community Service: An Estimation Model for the Ontario University System*, a technical paper of the Task Force on Resource Allocation, August 1994. Using the assumptions in that paper, the Task Force estimated student tuition funded approximately 35 per cent of the costs of teaching in 1992-93.

1. Council of Finance Officers, Universities of Ontario, *Financial Report of Ontario Universities, 1992-93 Volume I - Universities*, Council of Ontario Universities, December 1993, p. 3.

Figure 2

**Ontario University System Operating
Revenues by Source, 1992-93
\$2,783 Million**



Sources: 1. COFO-UO Financial Report of Ontario Universities 1992-93, Volume I.
2. Ministry of Education and Training Final Operating Grants, 1992-93.

Note: Other includes \$51 million in investment income, \$13 million in donations, \$5 million from the federal government and \$37 million in other operating revenues..

* For a discussion of costs allocated to teaching, research and community service, see [An Analysis of the Costs of Teaching, Research and Community Service: An Estimation Model for the Ontario University System](#), a technical paper of the Task Force on Resource Allocation, August 1994. Using the assumptions in that paper, the Task Force estimated student tuition funded approximately 35 per cent of the costs of teaching in 1992-93.

Operating grants provided by MET to Ontario universities are largely derived from enrolment-based formula funding². Table 1 sets out the levels of operating grants (1992-93 to 1994-95) discussed in subsequent sections of this paper. The current system of university operating grants has evolved over time into a package of operating grants mechanisms and funding envelopes. Since its inception in 1967, the cornerstone to the Ontario government's financing of the university system has been the operating grants funding formula. For the 1994-95 funding year, 92.7 per cent of total university operating grants is distributed through enrolment-based formula funding. This funding takes the form of two enrolment-based operating grants envelopes referred to as the Formula or Basic Grants and the Transition to New Corridors Grants funding envelopes. These grants are described in Section 3.

While the formula funding provided through these two grants constitutes the most significant component to Ontario's financing of universities, other operating grants provided by the province through MET are important supplements. These other operating grant envelopes have been developed in the context of the funding formula to compensate for its limitations in dealing with the variety of financial circumstances faced by Ontario universities and government policy objectives.

2. The current funding allocation formula is "enrolment-based" but not "enrolment-driven" in nature. The share of funding received by an institution is based on past enrolment levels, and is not directly related to current enrolment.

Table 1

**Ministry of Education and Training Operating Grants
to the Ontario University System, 1992-93 to 1994-95**
(\$ millions)

	Final Ministry Allocations 1992-93	Final Ministry Allocations 1993-94	Preliminary OCUA Recommendations 1994-95
	(Col. A)	(Col. B)	(Col. C)
1. Enrolment-Based Formula Funding			
a) Formula (Basic) Grants	1,685.2	1,558.2	1,530.8
b) Transition to New Corridor Grants	172.9	172.1	169.1
c) Contingency Funds			0.5
d) Sub-Total	1,858.1	1,730.4	1,700.4
2. Mission-Related Institution-Specific			
a) Northern Operations	8.5	7.9	7.8
b) Northern Mission	3.0	2.8	2.7
c) Bilingualism Grants	25.9	24.1	23.6
d) Differentiation Grant	1.8	1.7	1.6
e) Algoma Extraordinary	0.8	0.7	0.7
f) Sub-Total	40.0	37.1	36.4
3. Other Operating Grants			
a) Research Overheads/Infrastructure Envelope	30.6	28.3	27.8
b) International Graduate Student Differential Fee Waivers	5.7	5.3	5.3
c) Enhanced Accessibility for Students with Disabilities	4.9	4.9	4.9
e) Sub-Total	41.2	38.5	38.1
4. Special Purpose & Faculty Renewal Grants			
a) Special Purpose + Expenditures Deferrals	22.5	34.7	54.7
b) Faculty Renewal	11.1	7.6	3.8
c) Sub-Total	33.6	42.3	58.5
5. Other Grants			
a) Pay Equity	14.5	18.9	(See Note 4)
b) Transition Assistance Funding	22.0		
c) Social Contract Adjustment		20.0	
d) Sub-Total	36.5	38.9	
6. Total Operating Grants	2,009.4	1,887.2	1,833.4

Notes:

1. The Council identifies contingency funds annually in its allocative advice to government for the purpose of meeting potential exigencies.
2. Transition Assistance funding was made available for 1992-93 only.
3. The \$20 million adjustment made to the initial Social Contract reduction of \$110 million in 1993-94 (see line 5c) is included in the global sum of \$1,833.4 million in 1994-95.
4. The size of the 1994-95 Pay Equity funding will be known closer to the end of 1994.
5. Shaded lines indicate the MET operating grants under review in the OCUA Resource Allocation Reference.

The funding envelopes outside of the general funding formula relate to specific institutions in recognition of unique institutional circumstances or for costs not readily met by an enrolment-based funding formula. These funding envelopes are discussed in sections 4 and 5.

Enrolment-based funding provided through the Formula or Basic Grants and Transition to New Corridors Grants is block grant funding. With a block grant, a university is free to spend such funds on eligible expenditures independent of how the funds were generated. Block grants are to fund the operating activities of: instruction, research, academic support services, library, computing, student services, community service, administration, plant maintenance, and other operating expenditures (excluding: sponsored or contract research, principal and interest payments on capital indebtedness, student aid, ancillary enterprises and capital projects). The bulk of the operating funding provided by MET outside of the two formula funding envelopes is also of a block grant nature. The exceptions to this are the funding envelopes which require these grants be tied to specific expenditures and have special accountability provisions to ensure this occurs. These grants are the Enhanced Accessibility for Students with Disabilities funding envelope, the Northern Mission Grants funding envelope and the funding flowed through some of the Ministry's Special Purpose Grants. Section 6 describes Ministry Special Purpose Grants, Faculty Renewal Funding and Other operating grants.

In the following sections, each of the funding envelopes is described as to purpose; objective(s); institutions eligible to be funded; history; and, method by which funds are allocated to the eligible institutions.

2.0 Overview of Total Ontario University Revenues and Expenditures

2.1 Total Revenues and Expenditures

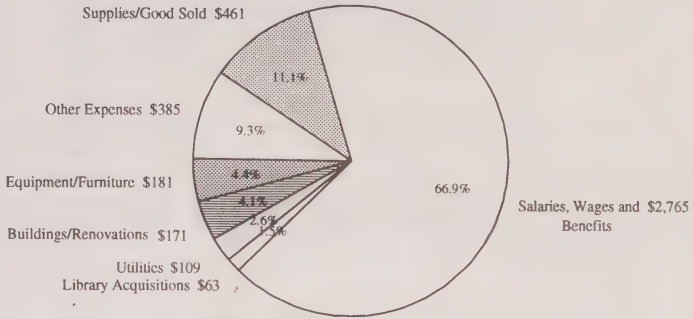
Ontario universities obtain their revenue from a range of sources: the Ontario government, the federal government, student tuition and service fees, and other private and public sources. As was depicted in Figure 1, the Ontario government is the largest single source of funding to the Ontario university system. Student tuition and service fees are the second largest source. In 1992-93, salaries, wages and benefits represented 67 per cent of total expenses of the university system. Figure 3 sets out the university system's expenses by type of expense.

2.2 Ministry of Education and Training Funding

In 1992-93, the province provided 72 per cent of the university system's \$2,783 million in operating funding (see Figure 2, page 2). The majority of the province's funding to its university system was flowed through MET. Details on the Ministry's operating grants to universities by type are provided in Table 1 for the 1992-93 to 1994-95 period. Table 2 outlines the distribution of grants (by institution) provided by the Ministry. The Ontario Council on University Affairs (OCUA) advises the Minister annually on the allocation among the institutions.

Figure 3

**Ontario University System Expenses
by Object, 1992-93, \$4,135 Million ***



Source: COFO-UO Financial Report of Ontario Universities 1992-93, Volume I.

Note: Other includes \$85 million externally contracted services, \$71 million scholarships and bursaries, \$49 million principal and interest repayments, \$20 million municipal taxes and \$160 million in other expenses..

* The \$100 million excess of revenues over expenses consists of 1992-93 funds carried forward.

3.0 Formula Funding in Ontario

The terminology of formula finance encompasses two distinct financial concepts: formula budgeting and formula funding. Budget formulae, which are generally used to develop a request for funds, calculate future dollar requirements or costs of institutions in a higher education system, whereas, funding formulae are used to allocate funds among institutions. The Ontario university operating grants formula is a funding formula used strictly to allocate operating grants among institutions. It is not used to determine adequacy and generate budget needs. For a discussion of the methods used by other jurisdictions to fund their university systems, see University Funding Mechanisms: An International Comparison, a background paper of the Task Force on Resource Allocation, July 1994.

Formula funding of the Ontario university system is an approach which has a history dating back to the 1960s. Changes to the formula have occurred eight times since 1967: five times in the 1970s and three times during the 1980s. (See Table 3 for details of these revisions.) The current funding formula, known as a corridor funding system, was introduced in 1987-88. It underwent a major revision beginning in 1989. The enrolment and funding changes as a result of the 1989 revision are still in the midst of being implemented. These changes were originally envisioned as being fully completed in 1995-96 in terms of enrolment changes and in terms of full funding for these enrolments in 1996-97.

Table 3

Major Changes to Ontario Operating Grants Formula Funding

1967

- Grant based on current year's enrolment = BIU \$ value - tuition fees

1973

- Slip-year enrolment

1976

- Undergraduate BIUs = $1/3(1974) + 2/3(1975)$
- Graduate BIUs = Frozen for 3 years at 1975 level

1977

- Undergraduate BIUs = $1/3(1974) + 1/3(1975) + 1/3(1976)$

1978

- Undergraduate BIUs = $1/2(1974...1976) + 1/2(3\text{-year Moving-average})$

1979

- Master's BIUs = $1/2(1974...1976) + 1/2(3\text{-year Moving-average})$
- Doctoral BIUs = $2/3(1974...1976) + 1/3(3\text{-year Moving-average})$

1984

- Combination of two formulae = $2/3(\text{Old formula}) + 1/3(\text{New formula})$

1987

- Corridor formula: ± 3 per cent corridor, 7-year Moving-average
- Accessibility envelope for enrolment growth

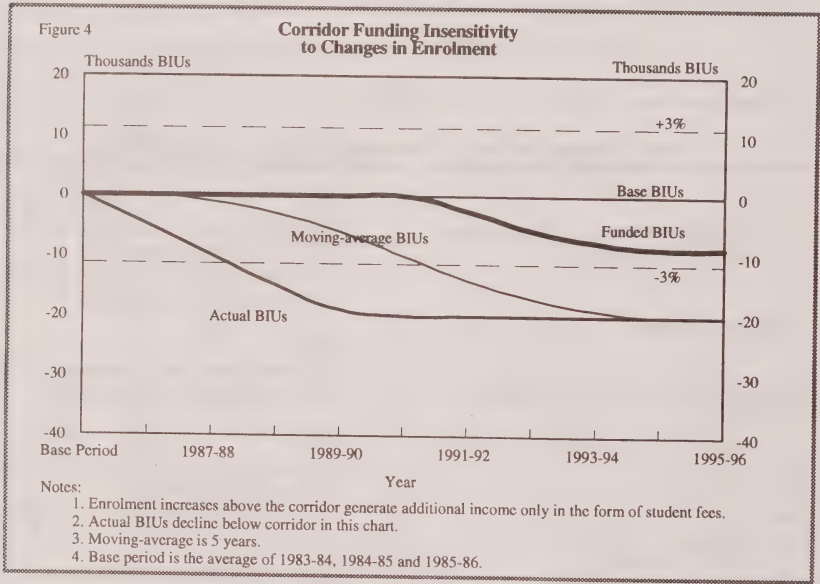
1989

- Revised corridor formula: ± 3 per cent corridor, 5-year Moving-average, multiple institution negotiations, future system growth accommodation, phase-out of accessibility funding envelope, strategic program corridors.
-

3.1 The Ontario Corridor Funding System

Under the "corridor funding system", each university receives a fixed share of the university system's Formula Grants. Each institution's share was originally determined by its relative level of student enrolment over a number of years (1974-75 to 1985-86). These enrolment levels were determined by counting full-time and part-time students enrolled at a university each term and determining their full-time equivalency (FTE enrolment). They were then given a program "weight", from 1.0 for general arts and science majors to 6.0 for doctoral students. The weights were roughly reflective of the relative costs of programs at the time of their introduction in the late 1960s generating Basic Income Units or BIUs.³

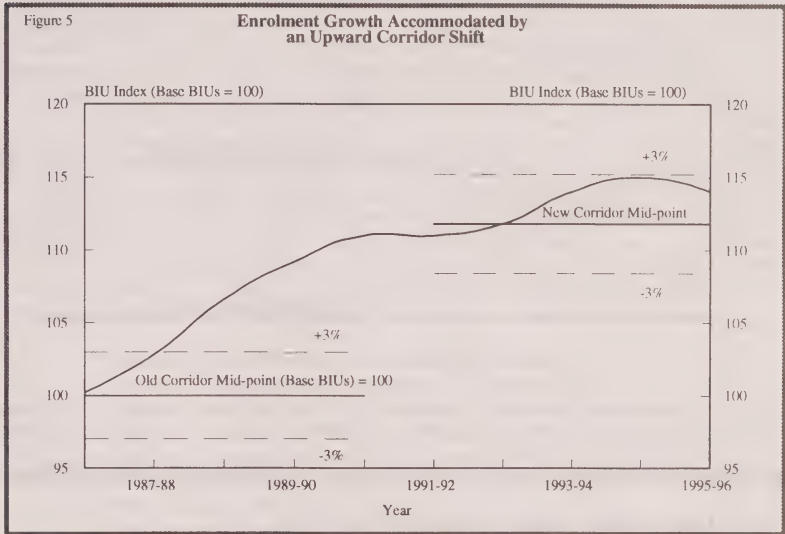
An institution continues to receive a fixed share of formula income (called Basic Operating Income or BOI, which equals Formula Grants plus government-set Formula Fees) so long as a five-year moving-average of its weighted enrolments remains within a band of ± 3 percent of weighted enrolments associated with its fixed share of income. Figure 4 illustrates how institutional funding corridors operate. If enrolment levels fall such that an institution's five-year moving-average drops below its corridor floor, then the university's share of Formula Grants will decline. If an institution's enrolment goes above its corridor ceiling, however, it does not automatically receive additional funding except for fees.



Under the current funding system, in order for additional funding to be forthcoming for enrolment growth above a university's corridor, government must be willing to provide additional grants for that purpose and have OCUA conduct negotiations with the university which result in advice to government on a higher corridor level. As illustrated in Figure 5, when an institution is

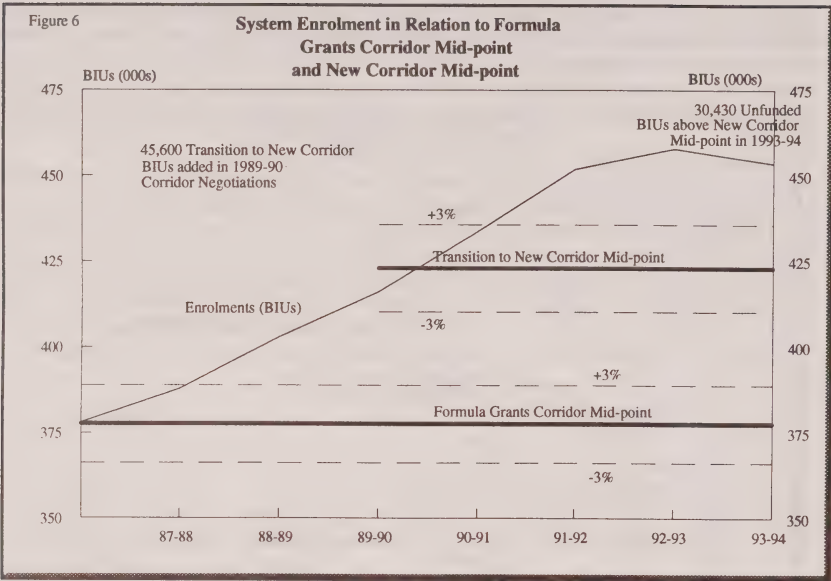
3. Since the introduction of enrolment weights, the following changes to existing weights were made: in 1969-70 the weight of 3 for medicine, dentistry and veterinary medicine was increased to 5, and in 1974-75 the weight of 2 for a master's in social work was increased to 4, and the weight of 1 for upper years social work was increased to 1.5.

granted a new higher corridor, its grants will change in accordance with its level of moving-average BIUs. When its moving-average BIUs reach the mid-point of the new corridor, the institution is once again afforded the protection of the corridor and will not have its BOI vary unless it falls below the floor of its new corridor.



As outlined in Figure 6, universities currently receive funding for their original corridor set in 1986 as well as funding for higher corridor levels negotiated in 1989-90. The bulk of the funds (\$1,531 million in 1994-95) is allocated through the Formula or Basic Grants funding envelope on the basis of the original corridors set in 1986 at the average of 1983-84, 1984-85 and 1985-86 eligible BIUs.⁴ In recognition of significant enrolment growth since 1986, the 1989-90 university corridor levels were renegotiated to fund an additional 45,600 BIUs for Transition to New Corridors shown in Figure 6. The funds associated with these corridor shifts are allocated through the Transition to New Corridors Grants funding envelope (currently \$169 million in 1994-95). Figure 6 also indicates that since 1989-90 university system enrolments have continued to grow, reaching 30,430 BIUs above university corridor mid-points in 1993-94. Institutions receive only tuition fee revenue for enrolments above the mid-point of their 1989-90 corridors.

4. For the 1994-95 funding year, Base BIUs are the average of 1983-84, 1984-85 and 1985-86 eligible BIUs for all institutions with two exceptions. Beginning in the 1990-91 funding year, the Ontario College of Art's Base BIUs were reduced by 83 BIUs with no adjustment to base funding factors. This was a negotiated reduction to OCA's Base BIUs. Commencing in the 1994-95 funding year, the University of Toronto's Base BIUs are being reduced by the undergraduate medical enrolments which were agreed upon in the Undergraduate Medicine Agreement Between The Minister of Education and Training and The Governing Council of the University of Toronto, July, 1993. Therefore, in the 1994-95 funding year, the Base BIUs for the University of Toronto are reduced by 375 BIUs. System total of Base BIUs for the 1994-95 funding year is therefore 377,555 BIUs.



3.2 History of the Ontario Funding Formula

Prior to the introduction of the university operating grants formula, operating grants were allocated in a discretionary manner through institutional budget review. The primary objectives in introducing the Ontario university operating grants formula in 1967 were to protect and enhance university autonomy, and to enhance the objectivity of grant allocations. The first objective is reflected in the block funding nature of the formula. With respect to the second objective, allocation decisions were no longer discretionary, and the procedure of distribution became visible and quantifiable.

The most notable aspect of the history of the Ontario university operating grants formula is progression toward increasing stability and insensitivity to enrolment change. Table 3 outlines this progression in formulaic terms (see page 7).

During the first several years of the operation of the formula mechanism for distributing Formula or Basic Grants, the relationship between any given institution's Formula Grants and changes in its enrolment was linear; i.e., if an institution's enrolment increased or decreased, its BOI and Formula Grants changed proportionately and the institution was funded on an average revenue basis.⁵ Since 1976-77, the formula has discounted (although at varying rates) the impact of changes in enrolment on university formula grants. This resulted in less than proportionate changes in BOI and grants when weighted enrolment changes and marginal revenue were less than average revenue.

Until 1987-88, when enrolment corridors were introduced, this discounting mechanism generally comprised an historical enrolment base which reflected a "fixed revenue" component of

5. Ignoring the impact of annual changes in value of the BIU.

the formula and a moving-average component which reflected recent activity levels and the "variable revenue" aspect of the formula. A portion of institutions' funding was generated by their historical base level, with the remaining proportion being funded according to their base and their moving-average. The level of discount attached to enrolment change varied over time and by degree level. For most of this period, undergraduate and master's BIU changes were discounted by one-half, and doctoral BIU changes were discounted by two-thirds.

With the introduction of corridor funding in 1987-88, the formula became even more insensitive to enrolment change, for two main reasons. First, the moving-average which measured current activity levels was lengthened from three years under the previous formula provisions to seven years, discounting any one year's influence on funding to about 14 per cent from 33 per cent (this moving-average was subsequently shortened to five years in 1990-91). Second, if an institution's moving-average of BIUs was found to be within a range or corridor of ± 3 per cent of a set base level of BIUs,⁶ the institution's BOI and Formula Grant income would remain unchanged. If an institution's moving-average enrolment increased above the top of the corridor, it would not automatically receive any additional income beyond the tuition fees collected for these students, although until recently it had the option of applying for an increase in its corridor and a proportional increase in BOI and Formula Grants. If an institution's moving-average enrolment fell below its corridor floor, its loss of BOI and Formula Grant income would be proportionate to the gap between its moving-average and its corridor floor.

3.3 Characteristics of the Ontario Funding Formula

Under the original formula mechanism, the dollar value of each BIU was set as an independent variable (independent of the total level of enrolment to be funded) at the first of the fiscal year in question. In the early 1970's, the value of the BIU became a dependent variable where the government stated the global level of grants available and the dollar value associated with each BIU became the results of dividing the total funds allocated for the system divided by the total number of BIUs in the province.

There are a number of characteristics or building blocks to the current funding formula for Ontario universities. These characteristics are:

- i) there is a single measure of activity - enrolments as measured by Full-time Equivalent (FTE) enrolments;
- ii) FTE enrolments are differentiated through the concept of weighting - a weighted FTE is referred to as a Basic Income Unit (BIU) (see Table 4);
- iii) formula funding is distributed as Basic Operating Income (BOI) which includes both formula-based grants and formula fees;
- iv) each institution receives a fixed share of BOI based on historical levels of enrolment (period of 1974-75 to 1985-86);
- v) an institution's fixed share of BOI is insensitive to enrolment change in its corridor of enrolments, which is the range of enrolments within ± 3 per cent of a set base level of eligible and funded BIUs;
- vi) a five-year moving-average of eligible BIUs is the means to gauge whether an institution maintains its fixed share of BOI;
- vii) corridor change is negotiated with upwards shifts dependent on a commitment by government to provide additional funding; and,
- viii) tuition fees are regulated for formula purposes and taken into consideration in the determination of an institution's formula grant.

6. The Base BIUs were set as the average BIU levels in 1983-84, 1984-1985 and 1985-86.

Table 5 provides details on the key aspects of the Ontario university operating grants formula.

Table 4	
Examples of Program Weighting	
UNDERGRADUATE	GRADUATE
Weight 1.0	Weight 2.0
General Arts and Science	Master's: Administration, Journalism
1st year Honours Arts and Science	
Theology	Weight 3.0
Weight 1.5	Master's: Humanities, Social Sciences, Education
Upper years Honours Arts	
Commerce and Business Administration	Weight 4.0
Fine and Applied Arts	Master's: Sciences, Engineering, Health Sciences
Law	
Weight 2.0	Weight 6.0
Upper years Science	All Doctoral programs
Education	
Engineering	
Music, both degree and diploma	
Pharmacy	
Weight 5.0	
Dentistry	
Medicine	
Veterinary Medicine	

Note: The weights listed are annual weights for full-time enrolment. Undergraduate and "weight 2" master's programs relate to two terms. Other graduate weights relate to three terms.

Table 5
Characteristics of the Current Ontario University Funding Formula

1. Block Grant	With a block grant, a university is free to spend such funds on eligible expenditures independent of how the funds were generated. Block grants are provided to fund operating activities, which are: academic support services, administration, community service, computing, instruction, library, plant maintenance, research, student services, and other operating expenditures (excluding: ancillary enterprises, capital projects, principal and interest payments on capital indebtedness, sponsored or contract research, and student aid).
2. Formula Funding System encompasses two funding envelopes	Currently there are two block grant, enrolment-based or Basic envelopes through which universities are funded: the Formula or Basic grants and Transition to New Corridors grants envelopes. Through Formula or Basic grants, the Ontario government, in 1994-95, is providing \$1,530.8 million for base system enrolments of 377,555 BIUs or an estimated 220,792 FTEs. Through the Transition to New Corridors grants, the Ontario government, in 1994-95, is providing \$169.1 million for additional enrolments of 43,950 BIUs.
3. Building Blocks of the formula funding system	The building blocks of the current funding system are: Full-time Equivalent enrolments (FTEs); Basic Income Units (BIUs); Basic Operating Income (BOI); fixed share; corridor ($\pm 3\%$); five-year moving-average; negotiated corridor change and the condition of "additional dollars"; formula fees which are regulated and taken into consideration in determining institutional BOI and block grant entitlement.
3.1 FTE - Full-time Equivalent enrolments	Each student's full-time equivalence is determined by current course load. An undergraduate student taking five courses in a five-course program = one FTE, while an undergraduate student enrolled in only two courses is 0.4 FTE. FTEs are the single measure of activity upon which the Formula and Transition to New Corridors Funding envelopes are distributed. The operating activities (instruction, research, community service, administration, building maintenance, library, etc.) that are provided for through these envelopes are funded according to this measure of activity counted over a period stretching back to 1974-75.
3.2 BIU - Basic Income Units	A BIU is an FTE multiplied by a weighting factor, as set out in <u>The Ontario Operating Funds Distribution Manual</u> , for the program in which a student majors. The BIU weights vary by program and level of study and in one instance by institution (OCA is funded at an institutional weight of 1.35). The weighting system is a rough measure of how costs vary by program, level of study and institution. Weights range from 1 for general arts, general science, and first year undergraduate work in other programs to 6 for doctoral work and reflect two terms for undergraduate and three terms for graduate enrolment. These values were established in 1966-67 and only slightly modified since then by adding or refining certain categories.
3.3 BOI - Base Operating Income	Grants in both the Formula and Transition to New Corridor funding envelopes are distributed to universities on the basis of Basic Operating Income (BOI). BOI is the total of grants plus the formula fees associated with the enrolments that are eligible for funding through each of these envelopes. Grants are calculated by taking an institution's total BOI and subtracting formula fees with the difference being the level of grants allocated.
3.4 Fixed Share	Each university receives a fixed share of the total grants and formula fees based on historical levels of enrolment (period from 1974-75 to 1985-86).
3.5 Corridor ($\pm 3\%$)	The corridor is the range of enrolments within $\pm 3\%$ of a set base level of funded BIUs where funding is insensitive to enrolment change.

Table 5 (continued)
Characteristics of the Current Ontario University Funding Formula

3.6 Five-Year Moving-Average	The five-year moving-average for the 1994-95 funding year is the average enrolment in the period from 1989-90 to 1993-94. In the following year the average will move by dropping 1989-90 and adding 1994-95. For the subsequent funding year 1989-90 will be dropped and 1994-95 will be added. Institutions are funded according to a fixed share of BOI so long as moving-average BIUs remain within the corridor. Moving-average BIUs over the top of an institution's corridor do not generate additional income beyond the tuition fees for these students. An institution, prior to going above its corridor, can apply for an increased corridor and a proportional increase in BOI and Formula Grants. Moving-average BIUs below the corridor floor generate a loss of BOI and Formula Grant income proportionate to the gap between the moving-average and the corridor floor.
3.7 Corridor Change: Negotiated/Additional dollars	Under the current funding system there are two ways in which upward corridor shifts can be made: they can be negotiated with the Ontario government (or OCUA on its behalf) or the province can increase funding levels.
3.8 Formula Fees: Regulated/Poolled	Under the current funding system there are two aspects to fees and the formula: first, formula fees are regulated; and, secondly, they are pooled across the system so that they are taken into consideration in the distribution of BOI and formula grants among institutions.

3.4 Formula Funding

As noted above, in Ontario two funding envelopes provide enrolment-based formula funding, the Formula or Basic Grants funding envelope and the Transition to New Corridor Mid-points Grants funding envelope. Together these envelopes, in 1994-95, provided 92.7 per cent of operating funding from the Ministry of Education and Training to the Ontario university system.

3.4.1 Formula or Basic Grants Funding Envelope

In 1994-95, \$1,530 million, or 83.5 per cent of total university operating grants, is being provided as Formula or Basic Grants.

Purpose

The Formula or Basic Grants envelope provides universities with block grants to fund all university operating activities: instruction, research, academic support services, library, computing, student services, public service, administration, plant maintenance, and other operating expenditures (excluding: sponsored or contract research, principal and interest payments on capital indebtedness, student aid, ancillary enterprises and capital projects). Institutions are able to allocate this block grant in the manner they see fit among operating functions.

Objectives

The stated objectives of the university operating grants formula have been:

- 1) funding stability by preventing extreme fluctuations in institutional income;
- 2) funding predictability to assist institutions in their planning efforts;
- 3) equitable allocations among institutions;
- 4) accountability to the public by linking funds to some quantifiable factor; and,
- 5) a method that is simple to use, understandable and practical to implement.

For the last decade, priority has been given to funding stability, with the corridor funding system being the mechanism. Emphasis was placed on enhanced funding stability in order to achieve the following aims:

- a) protect institutions' funding from the impact of the actions of other institutions;
- b) reduce the incentive for institutions to use growth only for the purpose of increasing their share of total operating grants;
- c) provide the opportunity for quality considerations as well as for quantity considerations in academic decisions; and,
- d) reduce short-term variations in funding which may result from fluctuating enrolment patterns in future years.⁷

Eligible Institutions

Brock University, Carleton University, University of Guelph, Lakehead University, Laurentian University (including affiliates Algoma College and le Collège de Hearst), McMaster University, Nipissing University, University of Ottawa, Queen's University, Ryerson Polytechnic University, University of Toronto, Trent University, Waterloo University, the University of Western Ontario, Wilfrid Laurier University, University of Windsor, York University, Ontario Institute for Studies in Education (OISE), Dominican College and Ontario College of Art (OCA).⁸

Methodology

As explained in Section 3.1, the Ontario university operating grants formula allocates system level Formula Grants plus formula tuition fees. Each university's funding entitlement is based roughly on its relative level of weighted enrolment or Basic Income Units (BIUs). Grants are allocated within a corridor system of funding. OCUA advises the Minister of Education and Training annually on the level and allocation of this grant and, when asked by the Minister, it periodically advises on revisions to the formula. The Minister finalizes the allocation of these grants annually.

3.4.2 Transition to New Corridor Mid-points Grants Funding Envelope

In the 1994-95 funding year, \$169 million, or 9.2 per cent of total university operating grants, is being provided as Transition to New Corridor Mid-points Grants.

Purpose

The purpose of these grants is to provide incremental funding for enrolment growth of 45,600 BIUs to new corridor enrolment levels.

Objectives

The objectives of the Transition to New Corridor Mid-points Funding Envelope are to:

- provide improved accessibility by funding a 45,600 BIU corridor shift above the Current Corridor Base BIUs;

7. Ontario Council on University Affairs, "Modification of the Operating Grants Formula, Advisory Memorandum 86-VII", *Thirteenth Annual Report, 1986-87*, p. 157.

8. The Ontario university system includes these institutions and 23 federated and affiliated universities and colleges.

- promote growth in priority areas: science and engineering, health sciences, teacher education, graduate enrolment to replace the professoriate and to increase French language offerings;
- phase-in funding for this 45,600 BIU corridor shift over the period 1990-91 to 1995-96 in a planned manner that folds in the \$84 million Accessibility Funding Envelope and provides for full average revenue for these additional BIUs by the end of the transition funding period; and,
- provide an ongoing mechanism to facilitate further changes in institutional funding levels and activity levels in a co-ordinated and planned manner.

Eligible Institutions

- Provincially-assisted universities, OISE and Algoma College.

History

In the latter half of the 1980s, universities experienced significant enrolment growth. To accommodate the increased enrolments, government provided an \$84 million Accessibility Grants envelope. At that time, it was expected that the flow-through of enrolments resulting from increased levels of intake would add another university approximately as large as the University of Windsor. Consequently, in 1988, OCUA was asked by the Minister to advise on a new approach to allocating university operating grants funding for 1990-91 and beyond which took into account enrolment growth beyond the current corridor formula's Base period (average of 1983-84, 1984-85 and 1985-86 eligible BIUs). OCUA advised in Advisory Memorandum 89-II, *Modification of the Operating Grants Formula*, that enrolment growth be accommodated through negotiated corridor shifts co-ordinated by OCUA and that an additional \$91 million in 1989-90 dollars be provided to fund this growth at average revenue funding.

In 1989, OCUA undertook a Corridor Negotiations process based on the priorities of the government. OCUA provided advice to the Minister which recommended incremental enrolment allocations to institutions participating in the 1989-90 Corridor Negotiations process (see Advisory Memorandum 90-I, *Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Corridor Negotiations*). In total there were 45,600 additional BIUs to be allocated among the institutions.

All provincially-assisted universities, OISE, Algoma College and le Collège de Hearst participated in the Corridor Negotiations process. (The Ontario College of Art requested and was allocated a temporary corridor reduction consistent with declining enrolments at the College.) These additional BIUs represent a 12.1 per cent increase to the 377,555 Current Corridor Base BIUs for the university system. (The university system is funded for these 377,555 current base BIUs through the Formula Grants funding envelope.) It was intended that the funds allocated under this envelope would be folded into the Formula Grants envelope, either at the end of the transition funding period 1996-97, or when all institutions had achieved and had been afforded protection of their new corridor mid-point.

Methodology

The 45,600 corridor shift BIUs are being phased-in according to the following targets: 37,120 BIUs in 1990-91; 40,650 BIUs in 1991-92; 42,580 BIUs in 1992-93; 43,430 BIUs in 1993-94; 43,950 BIUs in 1994-95 and 45,600 BIUs in 1995-96.

For 1994-95, the calculation of the size of this grant takes into account the 1994-95 target transition BIUs, phasing down the disparity between the Base BIU value and the Transition BIU value, and the amount of formula fee income that is associated with the new corridor enrolments. OCUA has made recommendations to the Minister in previous allocative advisory memoranda to ensure that sufficient funding was provided through the Transition to New Corridor Grants envelope to fund the additional new corridor enrolments at the same rate as those Base

BIUs funded through the Formula Grants envelope by the end of the transition to new corridor funding period. For each of the transition funding years to 1993-94, the Transition BIU value, albeit lower than the Base BIU value, reflected an increasing proportion of the Base BIU value. For 1994-95, the Transition BIU value (\$4,930) continued to reflect 94 per cent of the Base BIU value, which was unchanged from the 1993-94 proportion.

The distribution of funds among institutions is based on a growing moving-average of BIUs in relation to Base BIUs. For the 1994-95 funding year, this moving-average is comprised of the average of 1989-90, 1990-91, 1991-92, 1992-93 and 1993-94 eligible BIUs. OCUA recommends annually on the level of this grant and its allocation.

4.0 Mission-Related, Institution-Specific Funding Envelopes

4.1 Algoma College Extraordinary Grant

Since 1986, the Ministry responsible for universities has provided Algoma College with funding supplementary to that provided through the Formula, Northern Operations and Northern Mission Grants and, since 1989-90, Transition to New Corridor Grants. This funding has assisted Algoma to meet costs related to its small scale in terms of enrolment size.

OCUA has found through a cost study that, relative to larger institutions, Algoma experiences extraordinary costs in the areas of instruction and administration. The extraordinary instruction costs relate to small class sizes which are more costly to run. The extraordinary administration costs relate to the combination of a small overall student population and the need to provide a basic level of administrative service.

For 1989-90, OCUA recommended that an extraordinary grant of \$760,000 be provided to address Algoma's estimated structural imbalances. Subsequently, a cost study was undertaken in 1990 to determine how closely this grant level reflected Algoma's structural deficit. Through the cost review, OCUA found the \$760,000 grant level to closely approximate Algoma's scale-related extraordinary costs which were not completely covered by its Northern Operations Grant. OCUA recommended that this grant level be maintained for each year in the 1990-91 to 1992-93 period and that the level of the grant and its supporting methodology be re-examined prior to 1992-93. The Minister accepted OCUA's advice.

In its 1992-93 review, OCUA's found Algoma's enrolments had grown to a more viable size and that Algoma's extraordinary instruction and administration costs had declined. Therefore, for the 1993-94 funding year, OCUA recommended a \$54,000 reduction to the Extraordinary Grant which approximated the extent to which extraordinary costs had declined. OCUA also recommended that upon being satisfied the cumulative deficit had been eliminated, a review be undertaken to determine the feasibility of transferring some level of the Extraordinary Grant to Algoma's base formula funding. The Minister accepted OCUA's advice and has asked OCUA to proceed.

4.2 Bilingualism Grants Funding Envelope

In 1994-95, \$24.1 million, or 1.3 per cent of total university operating grants, is being provided as Bilingualism Grants.

Purpose

Bilingualism grants are provided to support the incremental costs of bilingualism (in French and in English) in eligible institutions as noted below.

Objectives

The objectives of these grants, as set out in the Formula Manual, "are:

- to provide educational opportunities in their own language to Franco-Ontarians;
- to make available in institutions of different sizes parallel course streams in a bicultural ambience for both English and French language groups;

- to provide more or less fully bilingual and bicultural exposure to anglophone and/or francophone groups."⁹

These grants also address the extraordinary costs which the Formula Grants funding envelope does not adequately cover for designated bilingual institutions.

Eligible Institutions

The following institutions are eligible to receive funding from the Bilingualism Grants funding envelope:

- Laurentian University;
University of Sudbury;
Collège de Hearst;
- University of Ottawa;
St. Paul University;
- York University (Glendon College); and,
- OISE (1992-93 only).

History

Bilingualism grants have been provided since 1967-68, with the introduction of the operating grants formula. Since its inception, OCUA has undertaken three cost studies to determine the incidence of additional costs of bilingualism in the eligible institutions. With each review, the methodology, the total grants and their distribution have been reviewed. The last review was carried out in 1988-89 using 1987-88 data.

In January, 1992, the Minister transferred the responsibility for the review of Bilingualism Grants to the Advisory Committee on Francophone Affairs (ACFA). The Minister requested that ACFA assess the extent to which this funding envelope, and the start-up and development and maintenance grants from the Minister's Special Purpose Grants contribute to the development of a complete range of French language programs and services at the university level. ACFA reviewed the methodology and allocations. The Franco-Ontarian Education and Training Council has since assumed ACFA's responsibilities.

Methodology

Bilingualism grants are allocated for the estimated incremental costs of providing bilingual education and services in the eligible institutions. There are seven components of the incremental costs of bilingualism:

- supplementary course offerings;
- second language training;
- library operations;
- translation services;
- publishing, printing stationary and supplies;
- administrative staff; and,
- computer services.

9. Capital and Operating Grants Administration, Ministry of Education and Training, The Ontario Operating Funds Distribution Manual, August 10, 1994, p. 12.

The methodology underlying the grant calculation identifies the costs incurred by each bilingual institution directly attributable to the bilingual nature of the institution that would not be incurred if the institution was unilingual and did not offer programs and services in the second language. In each institution, with the exception of le Collège de Hearst, the incremental costs are associated with the offering of French programs. In the case of le Collège de Hearst, English is the minority language.

Between cost study years, the overall level of these grants has varied annually according to the percentage change in the Formula Grants funding envelope.

4.3 Differentiation Grant Funding Envelope

In 1994-95, \$1.6 million, or 0.09 per cent of total university operating grants, is being provided as a Differentiation Grant.

Purpose

A Differentiation Grant is provided to assist an institution that has accepted a clearly differentiated role, demonstrated it intends to pursue its strengths efficiently and effectively, and requires special funding to do so.

Objectives

In support of system-wide rationalization, to promote institutional role differentiation through the identification of existing strengths and concentration of initiatives in line with the identified role.

This grant is also provided as incentive funding to institutions that voluntarily agree to accept a more limited and differentiated mission and, consequently, more focused program offerings.

The Differentiation Grant subsidizes costs directly related to an institution's differentiated role which are:

- extraordinary in nature and are not being sufficiently met by the Formula Grants funding envelope; and,
- beyond the university's control.

In accepting such grants, institutions accept a differentiated role and the requirement that future development must fit this role, thereby limiting institutional autonomy and the scope of current and future academic programming.

Eligible Institutions

Trent University. [Other institutions could be considered if they apply for and meet the conditions of this grant. To date, no other institutions have applied for this grant.]

History

Trent University has been receiving a differentiation grant since 1981-82 when OCUA introduced this new category of funding in recognition of the extraordinary costs of the format of Trent's provision of undergraduate Arts and Science education. The grant replaced and augmented the existing Supplementary Grant which was being phased-out at that time. The grant was provided annually on the condition that Trent eliminates its cumulative operating fund deficit and that it consolidate its graduate program offerings, phasing-out single-discipline master's programs in physics, chemistry and history. By 1986-87, Trent had met these conditions. To that point, Trent had to make annual submissions to OCUA documenting its compliance with the conditions of the grant and progress towards the changes required.

In 1987-88, the objective of the Trent Differentiation Grant became to maintain the previously established differentiated role. In Advisory Memorandum 89-IV,¹⁰ OCUA detailed the results of a review to identify and estimate the incremental costs of Trent's differentiation and the approach to be followed for funding under this envelope in future years. Annual reviews of the grant were no longer required, instead OCUA recommended the grant be reviewed in four to six years - after Trent achieved the new funding corridor that it was allocated in the 1989-90 Corridor Negotiations process, and the scheduled capital facilities additions came on stream.

Methodology

Until 1989-90, the level of the differentiation grant for Trent was set annually on the recommendation of OCUA. From the period 1983-84 to 1988-89, the grant was flat-lined at \$1.5 million. Currently the level of this grant varies annually in accordance with the percentage change in the Formula Grants funding envelope.

As outlined in Advisory Memorandum 89-IV,¹¹ the grant is provided to Trent in recognition of:

- extraordinary instructional costs;
- extraordinary administrative costs; and,
- extraordinary energy costs.

OCUA recommends annually on the level of the grant and undertakes periodically to review the appropriateness of the existence and ongoing level of grant awarded by conducting a cost study to identify the incremental extraordinary cost of the differentiated institutional role.

Institutions have in the past been required to approach OCUA for an evaluation of their eligibility and appropriate conditions for a Differentiation Grant.

4.4 Northern Ontario Grants

There are two types of operating grants provided to Northern institutions which reflect special circumstances faced by northern universities: Northern Operations Grants related to operating in the North and Northern Mission Grants related to providing service for the North.

4.4.1 Northern Ontario Mission Grants

In 1994-95, \$2.7 million, or 0.2 per cent of total university operating grants, is being provided as Northern Mission Grants.

Purpose

Northern Ontario Mission Grants are provided to address the particular needs of northern institutions in providing mission-related university-level education "for the North" in Northern Ontario.

Objectives

These grants subsidize the costs associated with operating an institution of higher education for the North such as:

10. Ontario Council on University Affairs, "Advisory Memorandum 89-IV, Trent University Differentiation Grant Review", *Sixteenth Annual Report, 1989-90*, pp. 141-146.

11. OCUA, "Advisory Memorandum 89-IV" op.cit. pp. 62-65.

- developing and operating northern research centres;
- providing educational initiatives and access to remote communities and special segments of the population; and,
- developing and offering special programs which meet regional needs.

Eligible Institutions

The following institutions are eligible to receive funding from the Northern Missions Grants funding envelope:

- Lakehead University;
- Laurentian University;
Algoma College;
Collège de Hearst; and
- Nipissing University.

History

In 1987-88, the Ontario government made available \$3 million in "special" grants to northern institutions to address the particular needs of providing university-related studies in the North. OCUA advised on their allocation for 1987-88 and during that year reviewed more closely eligible activities, accountability and allocation procedures in Advisory Memorandum 88-III.¹² A grant level of \$3 million annually remained in place until 1993-94 when it was reduced in line with the reduction in Formula Grants.

In 1992-93, OCUA reviewed the operation of this grant and recommended its continuation. OCUA also recommended that the definition of eligible expenditures and accountability requirements be clarified in Advisory Memorandum 92-XI.¹³ The Minister of Education and Training accepted OCUA's recommendations.

Methodology

Northern Mission Grants are allocated according to each northern institution's share of Northern Operations Grants.

4.4.2 Northern Ontario Operations Grants

In 1994-95, \$7.8 million, or 0.4 per cent of total university operating grants, is being provided as Northern Ontario Operations Grants.

Purpose

Northern Ontario Operations Grants are provided to offset the extraordinary location-related costs of institutions operating "in the North".

12. Ontario Council on University Affairs, "Advisory Memorandum 88-III, Northern Ontario Grants Review", Fifteenth Annual Report, 1988-89, pp. 62-65.

13. Ontario Council on University Affairs, "Advisory Memorandum 92-XI, The Allocation of Government's Operating Support for the University System in 1993-94", Nineteenth Annual Report, 1992-93, pp. 319-322.

Objective

The objective of these grants is to approximate the additional cost of delivering university education in the North, recognizing the unique circumstances arising from operating in the North.

Eligible Institutions

The institutions eligible to receive Northern Ontario Operations Grants are:

- Lakehead University;
- Laurentian University;
Algoma College;
Collège de Hearst; and
- Nipissing University.

History

Northern Operations Grants reflecting "in the North" costs have been allocated since 1975-76. These grants were initiated on the recommendation of OCUA and have been allocated according to a "mini-formula" developed by OCUA in Advisory Memorandum 75-VII.¹⁴

In 1987-88, OCUA undertook a review of the Northern Grants which confirmed the appropriateness of the mini-formula in allocating the grants in Advisory Memorandum 88-III.¹⁵ The Minister accepted OCUA's recommendation. Due to the low grant increase made available for 1992-93 and the decline in funds available for 1993-94 and 1994-95, total funds allocated to the envelope were reduced below the level generated by the mini-formula, thereby suspending the use of the mini-formula for those years.

Methodology

Under the original methodology, Northern Operations Grants were calculated under the mini-formula according to a fixed share of each institution's previous year's Basic Operating Income (BOI) level (a proxy for its total operating income):

- Lakehead University and Laurentian University -- 11 per cent of BOI
- Nipissing University and Algoma College -- 12 per cent of BOI
- Collège de Hearst -- percentage change in previous years BOI multiplied by the previous year's level of Northern Operations grant.

The cost study undertaken by OCUA in 1987-88, which confirmed the appropriateness of the mini-formula, identified five measurable factors deemed to have incremental costs associated with operating in the North:

- cost associated with providing regional accessibility and a reasonable range of programs to a large geographic area which, in turn, results in smaller class sizes;
- costs associated with purchasing goods and services in the North;
- utilities costs;

14. Ontario Council on University Affairs, "Advisory Memorandum 75-VII, The Allocation of the Government's Operating Support for the University System in 1976-77" *Second Annual Report, 1975-76*, pp. 68-70.

15. OCUA, "Advisory Memorandum 88-III", *op.cit.*, pp. 53-65.

- travel costs; and,
- affiliation costs unique to the relationship between Laurentian University and its affiliated colleges.

For 1992-93, 1993-94 and 1994-95, the level of these grants reflected the percentage changes to the Formula Grants envelope for those funding years.

5.0 Other Operating Grants

Three funding envelopes are described in this section:

- enhanced accessibility for students with disabilities;
- international graduate student differential fee waivers; and
- research overheads/infrastructure grants funding envelope.

5.1 Enhanced Accessibility for Students With Disabilities Funding Envelope

In 1994-95, \$4.8 million, or 0.3 per cent of total university operating grants, is being provided for the Enhanced Accessibility for Students with Disabilities Funding Envelope.

Purpose

This funding envelope is provided to improve accessibility for students with disabilities to university-level education.

Objectives

The primary goal of this fund is to serve as an incentive to universities to accommodate students with disabilities who wish to pursue university-level studies. It provides all institutions with funds to encourage them to set up an infrastructure of services, including the establishment and staffing of a special needs office in order to provide the appropriate counselling, professional resources and information focused on students with disabilities.

Eligible Institutions

All institutions funded through the Ontario university system are eligible to receive funding under the Enhanced Accessibility for Students with Disabilities funding envelope.

History

In 1988, the Minister requested OCUA's advice on programs to promote access for the under-represented groups and announced \$4 million in funding for that purpose. OCUA recommended that to focus these funds exclusively on enhancing access for students with disabilities could make a significant impact on improving accessibility for students with disabilities.¹⁶ In the 1989-90 funding year, this envelope was established based on a BIU distribution mechanism to assist institutions to enhance accessibility for students with disabilities.

In its 1992-93 allocative advice to the Minister, OCUA recommended a review of the effectiveness of the BIU distribution mechanism for this envelope. In Advisory Memorandum 93-III¹⁷, OCUA recommended that the BIU distribution mechanism be changed to an FTE basis for

16. Ontario Council on University Affairs, "Advisory Memorandum 88-IX, Enhancing Access for Disabled Students to Ontario Universities", Fifteenth Annual Report, 1988-89, pp. 129-140.

17. Ontario Council on University Affairs, Advisory Memorandum 93-III, Review of the Distribution Mechanism for The Enhanced Accessibility for Students with Disabilities Funding Envelope.

an interim period of two years commencing 1993-94. During this period, OCUA is also conducting a review to study the policy issues raised in relationship to this funding envelope, including operational standards, shortages in areas of extraordinary costs, the need for increased collaboration among institutions, jurisdiction, accountability and capital funding as well as the appropriateness of interim distribution mechanism. The Minister has requested that OCUA proceed with the review of this envelope as recommended in Advisory Memorandum 93-III.

Methodology

The overall level of funds in this funding envelope and the distribution among institutions are recommended by OCUA annually.

The distribution mechanism for the 1993-94 and 1994-95 funding years is a three-year moving-average of total eligible Full-Time Equivalent students, slipped one year, with a floor provision of \$60,000 for le Collège de Hearst and Dominican College, and a floor of \$90,000 for other provincially-assisted university-level institutions. For the 1993-94 funding year and again for 1994-95, OCUA recommended - and the Minister agreed - that this envelope be maintained at its 1992-93 level in spite of the overall reduction in funds available to be allocated among the various funding envelopes.

5.2 International Graduate Student Differential Fee Waiver

In 1994-95, \$5.3 million, or 0.3 per cent of total university operating grants, is being provided for 1,000 international graduate student differential fee waivers.

Purpose

International students pay a substantial differential premium in tuition fees in comparison to fees for domestic students. This fee differential reduces the ability of Ontario's universities to attract highly qualified international students. Therefore this funding envelope was established to improve the universities' ability to attract highly-qualified international graduate students.

Objectives

The objective of this funding envelope is to provide exemption from the differential fee for 1,000 international graduate students.

Eligible Institutions

The institutions which are eligible to be allocated this funding are all of the provincially-assisted universities, the Ontario Institute for Studies in Education and Dominican College.

History

Differential fees for international students were first instituted in 1977. Effective September, 1982, differential fee rates were substantially increased. Non-exempt students pay a standard fee comprised of the regular fee and an additional fee. For example, in 1994-95, non-exempt international graduate students pay one term fees for all programs - except theology - consisting of a regular fee of \$900 and an additional fee of \$3,556.

In 1987, the Minister introduced this program of differential fee exemptions for international graduate students (non-exempt foreign students as described in the Ontario Operating Funds Distribution Manual).

In Advisory Memorandum 88-V¹⁸, OCUA recommended that government grants associated with international graduate student differential fee waivers be distributed to institutions in proportion to the number of waivers received and that the waived differential fee not be counted in the visa fee redistribution pool. The Minister accepted OCUA's advice.

Methodology

The value of the waiver is determined by the level of the overall funds allocated to this envelope divided by the number of fee waivers. The number of fee waivers allocated to each institution is based on an institution's share of a moving-average of eligible graduate FTEs. OCUA recommends annually on the level and allocation of this envelope.

5.3 Research Overheads/Infrastructure Envelope

In 1994-95, \$27.8 million, or 1.5 per cent of total university operating grants, is being provided for Research Overheads/Infrastructure funding.

Purpose

The purpose of the Research Overheads/Infrastructure Grants funding envelope is to provide a portion of the funding of the overhead/infrastructural or indirect costs of sponsored university research.

Objectives

The objectives of this funding envelope are to:

- augment the ongoing research overhead funding provided through the Formula Grants Envelope which must continue to cover the bulk of the indirect cost of research; and,
- support research overhead costs in a manner which reflects the inter-institutional distribution of the cost of sponsored activity and is responsive to changes in research activity.

This grant is not provided to cover the overhead costs of contract research. Institutions are expected to negotiate overhead coverage on all contract research and not be subsidized by government.

Eligible Institutions

Institutions which are eligible to receive grants from this funding envelope are the provincially-assisted universities, Algoma College, le Collège de Hearst and the Ontario Institute for Studies in Education.

History

In 1986, in its advice which recommended the corridor system of funding, OCUA also recommended that a separate ongoing envelope to support the overhead or indirect cost of research be established.¹⁹ The distribution mechanism for this envelope was established based on

18. Ontario Council on University Affairs, "Advisory Memorandum 88-V, International Graduate Student Differential Fee Waivers", Fifteenth Annual Report, 1988-89, pp. 85-89.

19. Ontario Council on University Affairs, "Advisory Memorandum 86-VII, Modification of the Operating Grants Formula", Thirteenth Annual Report, 1986-87, pp. 151 - 189.

peer-adjudicated research grants allocated by three federal granting councils to the universities: Medical Research Council (MRC), Natural Sciences and Engineering Research Council (NSERC), and Social Sciences and Humanities Research Council (SSHRC). For 1987-88, the first year of funding provided for under this envelope, funds were distributed based on a three-year average of the peer-adjudicated research grant amounts received by each university from three of the federal granting councils for 1983-84, 1984-85 and 1985-86.

OCUA undertook a review of the appropriate long-term distribution mechanism in Advisory Memorandum 87-XV,²⁰ examining various alternatives to that used for 1987-88. It concluded that the previously chosen mechanism was the most appropriate reflection of the incidence of research overhead costs. The formula was formally established as a three-year moving-average of the peer-adjudicated research grants from the federal granting councils, slipped two years.

Methodology

In 1987-88, this funding envelope was established and the initial size of the envelope was set at \$25 million. In recent years, the amount of funds set aside for this funding envelope, as recommended by OCUA, has varied annually in accordance with the percentage change in the Formula Grants funding envelope.

The grants are distributed to the eligible institutions according to each institution's share of a three-year moving-average, slipped two years, of peer-adjudicated research grants awarded by MRC, NSERC and SSHRC. This distribution mechanism was recommended by OCUA in its advice to the Minister in Advisory Memorandum 87-XV.²¹ The Minister accepted OCUA's advice.

6.0 Special Purpose Grants, Faculty Renewal and Other

In 1994-95, the grants provided for these categories totalled \$58.9 million or 3.2 per cent of total university operating grants: \$49.5 million for special purpose grants; expenditure deferrals of \$5.2 million; \$3.8 million for faculty renewal; and \$500,000 as a contingency fund.

Special Purpose Grants are allocated directly by the Ministry without the advice of OCUA. A number of relatively small operating grant payments are made to Ontario universities and other related institutions to provide funds for special activities and grants-in-aid under special agreements with the specific institutions. For complete details on the 1993-94 Special Purpose Grants by funding envelope, see Appendix A - Part 1. At this time only partial details on the 1994-95 Special Purpose Grants by funding envelope are available and are set out in Appendix A - Part 2.

6.1 Pay Equity Funding

In addition to the grants described above, a separate grant entitlement for pay equity purposes is provided to Ontario universities. The purpose of this funding is to assist and encourage Broader Public Sector employers in implementing pay equity legislation in order to redress systemic gender discrimination in compensation for work performed by employees in female job classes.

A notional (conditional) pay equity grant allocation is calculated for each university on an annual basis in accordance with the university sector's established operating grants formulae. Actual pay equity costs are supplied by the universities on a calendar year basis, and this information is used to determine an annual institutional grant entitlement, representing the lesser of the notional allocations or the actual eligible reported pay equity costs.

20. Ontario Council on University Affairs, "Advisory Memorandum 87-XV, Research Overheads/Infrastructure Funding Envelope Alloative Mechanism", *Fourteenth Annual Report, 1987-88*, pp. 211-222.

21. *Ibid.*, p. 215.

Grant entitlements to the university sector, since the inception of the pay equity assistance program, amount to \$5.0 million in 1991-92, \$14.5 million in 1992-93, and \$18.9 million in 1993-94. Funding for 1994-95 will be determined closer to the end of 1994.

This funding is provided for pay equity plans involving job-to-job and proportional value comparators. These plans are to be fully implemented by January 1, 1998.

7.0 Glossary

BIU - (Basic Income Unit) enrolment weighted roughly according to the relative costs of programs in the late 1960s.

BOI - (Base Operating Income) formula grants plus formula fees associated with the enrolments eligible for counting.

Block grant - funds which are generated through a block grant can be spent by a university on any eligible expenditures, independent of the basis on which the funds were generated.

Discounted enrolment - university enrolment which has generated less than full average revenue to institutions.

FTE - (Full-Time Equivalent) - a measure of activity for the counting of enrolment based on a courseload. For example, an undergraduate student taking five full-year courses in a five course program = one FTE.

Formula fees (Standard fees) - government controlled tuition fee rates. Universities are allowed to charge tuition fees up to 113 per cent of the formula fee rate without loss of grants.

Formula funding - includes two block grant enrolment-based envelopes through which universities are funded: the Formula or Basic Grants and Transition to New Corridors Grants envelopes.

Headcounts of university enrolment - are all students registered and active in courses that are eligible for academic credit in a degree program.

Inter-institutional equity - refers to the funding of similar activities in a similar manner and different activities according to relative differences in costs. The range of funding currently deemed equitable by the Council and Government, namely an institution's funding per base count of eligible students (Base BOI/BIU), should not be more than seven per cent less than the system average.

Moving-average - the calculation applied to generate a figure for average enrolment over a period of time. The five-year moving-average for the 1994-95 funding year is the average enrolment in the period 1989-90 to 1993-94. In the following year, the average will "move" by dropping 1989-90 and adding 1994-95.

Ontario university system - refers to the group of publicly-funded university-level institutions in Ontario.

Peer-adjudicated research grants - those research grants allocated on the basis of an evaluation of the merits of a research proposal by academic peers.

Research overhead/infrastructure costs - indirect costs of conducting eligible sponsored research including physical plant costs, administrative costs, etc.

Slip-year - the year prior to the current fiscal year.

Special Purpose Grants, 1993-94
(\$ thousands)

1. Access/Equity Related Grants		
a)	Aboriginal Education Strategies	2,525.0
b)	Aboriginal Language Teacher Education (Brock, Lakehead)	113.4
c)	Aboriginal Nurses Entry Program (Lakehead)	70.0
d)	Aboriginal Teacher Certificate (Nipissing)	83.1
e)	Access Action Education Program (Ryerson)	100.0
f)	Canadian Hearing Society	54.3
g)	Contact North Supplement	266.4
h)	Deaf Education Centre (York)	497.3
i)	Deaf Education Centre Supplement (York)	145.0
j)	Lewis: Harassment & Discrimination (York)	454.1
k)	Lewis: Teacher education (York)	
l)	Off-Campus (Lakehead, Laurentian, Nipissing, Hearst)	992.6
m)	TV Ontario (OECA)	1,107.5
n)	Women's Campus Safety Program	700.0
Total Access/Equity Related Grants		7,108.7
2. French Language Grants		
a)	Edu-Action	129.8
b)	Forma-Distance	293.5
c)	French as a Minority Language: Start-up & Development	1,000.0
d)	French as a Minority Language: Maintenance	8,016.5
e)	Ontario-Quebec Academic Exchange	127.1
f)	Ontario-Quebec Health Study Program	729.4
Total French Language Grants		10,296.3
3. Specific Institutional Grants		
a)	Canadian Institute for Advanced Research	1,250.0
b)	Centre for International Studies	511.4
c)	Fields (McMaster, Waterloo, Toronto)	1,000.0
d)	Occupational/Physiotherapy (McMaster)	500.0
e)	Ontario College of Art Restructuring	711.3
f)	Optometry (Waterloo)	10.7
g)	Pension Supplement (Guelph)	903.0
h)	Pension Supplement (Ryerson)	753.8
i)	Pension Supplement OMERS (Ryerson)	4,735.2
j)	Status and Weight Review (Ryerson)	1,750.0
k)	Technology Teacher Education (Queen's)	54.0
l)	University of Toronto Medical School Adjustment	502.5
m)	University of Toronto Schools	1,348.4
n)	Utilities Adjustment (OISE)	(115.0)
Total Specific Institutional Grants		13,915.3
4. Other Special Purpose Grants		
a)	Ontario/Four Motors (Carleton/York)	441.8
b)	Open Learning System Development	145.0
c)	Midwifery (McMaster Consortium)	1,504.3
d)	Restructuring Agenda Support	115.0
e)	University Research Incentive Fund, Maintenance	132.1
f)	Workers Compensation Board Coverage	6.5
Total Other Special Purpose Grants		2,344.7
TOTAL SPECIAL PURPOSE GRANTS		33,665.0

Source: Ministry of Education and Training.

Special Purpose Grant Allocation Summary, 1994-95

(as of March, 1994)

(\$ thousands)

GRANT CATEGORY

<i>Access/Equity Related Grants</i>	8,030.2
<i>French Language Services</i>	
French As a Minority Language (New Starts)	1,000.0
Other 10,616.5	
Total French Language Grants	11,616.5
<i>Specific Institutional Grants</i>	
Ryerson Change to University Status	4,250.0
U of T Medical School Research Grant (estimate)	1,915.8
Other 12,215.2	
Total Specific Institutional Grants	18,381.0
<i>Other Special Purpose Grants</i>	
Advanced Training Program (Placeholder)	250.0
University Accountability (Placeholder)	300.0
University Research Incentive Fund (New Starts)	3,000.0
Student Residences	4,000.0
Other 3,935.9	
Total Other Special Purpose Grants	11,485.9
TOTAL SPECIAL PURPOSE GRANTS	49,513.6

Note: A more detailed listing of Special Purpose Grants for 1994-95 is not yet available.

Source: Ministry of Education and Training.

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Increasing the Emphasis on Teaching in Ontario Universities

November 1994

1.0 Introduction

This paper is one of a number of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system in Ontario universities. Although commissioned by OCUA, this paper differs from other papers in this series in that it is not authored by the Task Force on Resource Allocation but by two members of the Ontario university community. Together we have a combined experience of some 50 years, in a variety of post-secondary education systems both within Canada and beyond, working as teachers and scholars in three academic disciplines (mathematics, psychology, and education), and in the field of instructional development. The purpose of this paper is to provide an assessment of current policy and practice in Ontario universities with respect to the emphasis placed on learning and teaching effectiveness and to advance proposals that might help to increase the emphasis on high quality learning and teaching in Ontario universities and involve faculty in instructional development.

In addressing the issues examined in this paper, we consulted a number of publications on teaching and learning in higher education and on instructional development strategies. To assess policy on teaching and learning, we examined the union contracts and official university policy statements such as mission statements, tenure and promotion guidelines, and strategic planning documents of fifteen Ontario universities. To assess practice, we undertook a survey of our colleagues in instructional development throughout Ontario and consulted with several international colleagues. Our findings were further informed by a small focus group discussion comprising male and female undergraduate students from four different Ontario universities and representing the professions as well as arts and science.

The following nine "key questions," developed in collaboration with the Task Force on Resource Allocation as a framework for our project, provided the basis for both the survey instrument sent to instructional developers and the discussion guide for the focus group:

1. To what extent do Ontario universities and faculty emphasize high quality teaching and learning — in principle and in practice?
2. What innovative policies and practices exist in Ontario universities that hold out promise for the future enhancement of learning and teaching?
3. Through what means are Ontario university faculty currently involved in instructional development to enhance teaching and learning?
4. What role has been played, and successes achieved, by instructional development centres in improving teaching quality?
5. Are there any relevant innovations in other university systems that could be emulated successfully in Ontario?
6. What curricular changes will be needed to prepare students for life in the 21st century? What processes are used by Ontario universities to consider and plan appropriate curricular reform that focusses both on instructional methods and course content (including issues of inclusiveness and diversity)? What emphasis should be given to having students take more responsibility for their own learning?
7. How can we encourage a view of teaching that goes beyond classroom delivery and includes course planning, student assessment, acting as adviser and mentor to students, etc.? And how should successful involvement in such activities be recognised and rewarded?
8. What is currently being done, and what more should be done, to prepare faculty, teaching assistants, and other instructors for their roles as university teachers?
9. What are the major barriers to enhancing teaching and learning quality in Ontario universities, and how might they be overcome?

This report and the recommendations that follow were prepared under considerable time constraints, and thus our review cannot be regarded as comprehensive or definitive. Nonetheless, we hope this paper will stimulate further discussion about teaching in a university system which society is calling upon to be more accountable, more relevant, and more responsive to concerns that teaching and learning is not being accorded the value and the prominence it deserves.

Acknowledgments

We would like to thank our colleagues in Ontario instructional development centres for their cooperation in responding to our survey, and Steve Katz for his assistance with our research and for facilitating the student focus group.

2.0 The Current Emphasis on Teaching in Ontario Universities

In most Ontario universities — and indeed in many universities worldwide — official policies and mission statements lay heavy stress on teaching as a major function of the institution and criterion for academic advancement. Sadly, by several measures the practice does not measure up to the principle.

On the crudest level, the amount of space devoted to teaching in official university documents (such as mission statements, tenure and promotion guidelines, strategic planning materials) is considerably less than that devoted to research (in most documents examined two-thirds was the norm, in several it was one-half). Nonetheless, statements describing the value accorded to teaching are strong and are reflected, for example, in policy statements that require teaching to be evaluated for tenure and promotion purposes and allow teaching excellence to be one possible route to promotion. However, there is persuasive evidence from surveys carried out in Canada and elsewhere that many faculty believe they are rewarded primarily for research and publication rather than for teaching. For example, a survey conducted by Syracuse University (1992) of over 23,000 US academics in 47 universities concluded that "many faculty, chairs, deans and academic administrators at research universities believe that an appropriate balance [between research and undergraduate teaching] does not now exist at their institutions but that such a balance should exist." Preliminary results from a recent extended survey including Canadian faculty and administrators confirm the view that teaching and research should be valued equally, but that in practice the greater emphasis is placed on research.

According to the students in the focus group "the failure of the reward structure to take teaching quality into account results in mere competence [in teaching] being satisfactory." Effort put into documentation and assessment of research is often much greater than for teaching which is appraised primarily by means of student questionnaires. Not only do the latter comprise only one limited source of evidence, but in many cases the instruments used are suited mainly for traditional didactic teaching (lectures) and may discourage faculty from attempting more innovative approaches. Moreover, recent research supports anecdotal evidence that student evaluations are biased against particular groups, such as women faculty (Basow, 1994). On the other hand, the students in the focus group reported that "course evaluations are treated so unenthusiastically by the administering party (the professor) that students complete them halfheartedly if even at all."

New appointments are rarely made on the basis of teaching competence, but rather on the research needs of the department. Despite overwhelming evidence to the contrary (see *Undergraduate Teaching, Research and Consulting/Community Service: What are the Functional Interactions? A Literature Survey*, Background Paper, August 1994), the belief persists that teaching and research (here meaning traditional scholarship of discovery) are consistently linked, and that hiring the best possible researcher automatically guarantees teaching competence. In contrast, however, the argument frequently advanced against focussing on excellence and/or leadership in teaching is that it will necessitate lowering standards for research. Clearly this link, whatever its proponents believe it to be, is not a reciprocal one and, when faced with a choice, hiring committees err on the side of giving the benefit of the doubt to teaching. A further problem is that beginning faculty are often encouraged to place most emphasis on establishing a research programme in the early years of their careers, despite the evidence that inadequate attention to teaching may jeopardize both their teaching and their scholarly accomplishments (Boice, 1992). With only a few exceptions, notably Brock and Ottawa, sabbaticals are seen as opportunities for renewal of scholarly interests rather than development of new teaching approaches, and when faculty are given release time it is usually in the form of "relief" from teaching "load", rarely from research obligations.

However, there are increasing indications of unhappiness with this state of affairs on the part of faculty, students, and the public, and tentative steps are being taken to pay greater attention to teaching quality. One example was the critique of Canadian universities offered by the Commission of Inquiry on University Education ("Smith Commission") sponsored by AUCC in 1991. Although it is difficult to document empirically, it appears that poor teaching is increasingly a barrier to award of tenure, and at least one Canadian university successfully dismissed several professors largely because of teaching incompetence. Several Ontario universities (for example, Guelph, Lakehead, and Windsor), at least in principle, offer the prospect of promotion to full professor largely on the basis of documented teaching accomplishments. Many Ontario universities now have instructional development units to advise on the enhancement of teaching. Indeed several new units have been established in the recent past, despite (or because of?) the budgetary problems facing higher education institutions. The Society for Teaching and Learning in Higher Education (STLHE), which had considerable influence on the report of the Smith Commission, has seen a steady increase in its membership, and over 400 Canadian faculty attended its 1993 conference at York University.

At the same time there remain many formidable obstacles to increasing the emphasis on teaching to a point where the quality of teaching and learning is seen as important as the quality of research. One of these is that most academics see loyalty to their discipline as of primary importance, and disciplinary accomplishments derive largely from research and publications (see Trotter, 1977). This in turn causes some faculty to place their main teaching emphasis on preparing future members of the professoriate ("cloning professors") rather than enhancing the learning of the majority of undergraduates who will never pursue further formal academic study (see Tobias, 1990). This raises the provocative question of whether the traditional "teacher/scholar" role is still the most appropriate for all faculty members, particularly in a climate where the conception of scholarship has narrowed to include only discovery research. Another obstacle is the fact that while faculty are experts in their disciplines, most have never learned how to teach. A lack of understanding of how students learn and limited knowledge of appropriate teaching methods contribute to faculty members' preoccupation with "covering the content" and preference for lecturing. We will return to these issues later in the paper and suggest that departments, in particular the department chairperson, could be an important driving force behind changing the balance between teaching and research and in enhancing university teaching.

3.0 Examining Innovative Approaches to Enhancing Teaching and Learning

A good deal of university teaching in Ontario, as elsewhere, uses traditional methods to present information (e.g. lectures, discussion sessions) and to test student progress (essays, multiple-choice exams), despite evidence that such approaches are often ineffective in fostering higher-level learning (for a review of the research, see Knapper and Cropley, 1991). Nonetheless, there is a considerable amount of innovation in Ontario universities that encompasses teaching methods, instructional evaluation, and organizational structures for enhancing teaching. A number of institutions, in some cases through negotiated agreements with faculty unions, provide grants for faculty to encourage such teaching innovation. A major challenge, however, is to disseminate information about these initiatives to faculty at large, to carefully evaluate their pedagogical effectiveness, and to encourage worthwhile experimentation on a much broader scale.

3.1 Teaching Innovations

Teaching innovation occurs both at the individual faculty-member level and at the programme level. At the individual level, increasingly many faculty members from a variety of disciplines are experimenting with *collaborative learning strategies* (see, for example, Rogers, 1992), with strategies for fostering students' *critical thinking* (see Rehner, 1994), and with *classroom research techniques* designed to provide immediate feedback on student learning in a course (see, for example, Aldridge, 1992).

At the programme level, the University of Waterloo has achieved worldwide recognition for applying the concept of *cooperative education* beyond the traditional areas of medicine, law and teacher education to engineering, science, the arts and other disciplines. McMaster University pioneered the problem-solving approach to medical education, an innovation

which has been adopted by other institutions, both in Ontario (for example, Queen's and Toronto) and beyond (for example, Harvard). In a *problem-based curriculum*, students first encounter the major concepts and principles of a course in the context of solving a problem, working collaboratively on a project, or by analyzing a case. Problem-based learning approaches, since they stress the acquisition of cognitive and interpersonal skills, increase students' active involvement in the learning process and represent a radical departure from traditional definitions of teaching (see Barrow and Tamblyn, 1980).

Other innovative approaches include developing links with local industries or high schools in support of teaching programmes — for example, having students work on projects suggested by local business people, or bringing in outside experts to teach students how to work in teams. Most Ontario universities now offer some sort of *distance education*, often using innovative methods for delivering instruction and interacting with students. Some institutions have collaborated in offering joint programmes, especially at the graduate level, and in the case of Guelph, McMaster, and Waterloo, such collaboration has been reinforced by development of innovative technology to share resources through a microwave classroom link-up.

One type of innovation that has attracted a good deal of attention involves *technology-based learning*. This can encompass a very broad range of approaches, from multi-media courseware to the use of electronic mail to enhance student communication. Technology and education was not within the scope of this review and hence is only touched on here. However, we caution that, in examining the possible uses of technology, educators should not lose sight of the primary objective, which is to ensure that learning is enhanced and teaching becomes more effective and creative. Technology is an opportunity, not a magic remedy for meagre resources. Rushing into the wide-spread use of technology before it is ready, that is before suitable software has been designed, before support for instructional design is available, before some form of assessment of its effectiveness in enhancing student learning has been conducted, may pose more problems than it is intended to solve. Introducing technology, as some have suggested, in the hope that it will improve poor instructional methods, simply translates bad habits into another media. That technology can transform teaching is demonstrably true — though often in ways that can be achieved by other (non-machine-based) means such as collaborative enquiry. Unfortunately, much of what currently masquerades as innovative use of technology, is little more than the replacement of the overhead projector by an electronic sketchpad.

3.2 Curriculum Review and Reform

In addition to experimentation with teaching methods, some institutions have introduced processes for fundamental curriculum review and reform — for example in medicine and business. York University and Ryerson Polytechnic University have each successfully adapted the Harvard Assessment Seminars (Light, 1990) as a method for faculty, students and administrators to work together to assess and enhance the outcomes of teaching.

In several universities, there is growing awareness of the need to transform the curriculum from a Eurocentric world-view to one that includes a wider variety of perspectives and experiences. Curriculum matters are, of course, properly the concern of the departments wherein the disciplinary expertise resides, and this makes maintaining an appropriate balance between research and teaching within the universities an important requirement for academic growth. However, and for reasons touched upon throughout this paper, faculty may not be aware of the accompanying need to transform teaching methods, nor be familiar with ways of going about the process of change. This is an area which has witnessed some fruitful collaboration between academic units and instructional development centres.

3.3 Evaluation and Improvement of Teaching

Probably the main innovation in the evaluation of teaching has been the gradual acceptance of the *teaching dossier* for documenting faculty performance. Dossiers were originally developed in Canada in the late 1970s, and are currently being actively promoted in the USA and beyond (Shore *et al.*, 1986). A teaching dossier provides a description of a faculty member's approach to teaching and elaborates some of the items in the curriculum vitae which best illustrate the faculty member's teaching practices and achievements. The idea of dossiers has now gained

widespread acceptability — most Ontario universities encourage, and several now require (for example, Wilfrid Laurier and York), the compilation of teaching dossiers for major career decisions, including tenure and promotion. However, mandating the use of such documents does not guarantee a change in the emphasis and value accorded to teaching. We now need to develop criteria for how dossiers should be compiled, used, and interpreted (for example, by tenure and promotion committees). One promising project currently being undertaken by STLHE is the development of a process for the external review of dossiers, including the creation of a bank of experienced assessors.

Although dossiers were originally devised as a means for summative evaluation, they also have an important formative function in getting faculty to reflect on their teaching goals, methods and accomplishments. For example, York University recently published, as a companion document to its *Teaching Documentation Guide*, a *Teaching Evaluation Guide* which is designed to assist faculty in devising and implementing a programme of self-reflection and improvement of teaching.

3.4 Awards for Teaching

Many institutions have sought to recognise outstanding teachers through teaching awards, several of which entail a substantial financial reward. These awards are offered both at the university-wide level and at the unit level. Several universities have developed award schemes for teaching assistants as well as for faculty members and some (for example, McMaster) have separate awards acknowledging different contributions to teaching, such as excellence in classroom teaching, curriculum development, and educational leadership.

The reception for such programmes has been mixed, and awards sometimes appear to be more popular with senior administrators and students than with faculty in general — perhaps because of disagreement about appropriate criteria, mistrust of teaching evaluations, and the suspicion that awards are merely a way of avoiding any real recognition of teaching through such regular means as tenure, promotion, merit pay, grants, sabbatical leaves, etc. However, one national award scheme that seems to have been very successful in raising the profile of teaching and increasing the esteem attached to teaching excellence is the 3M teaching fellowships programme, coordinated by STLHE. This programme offers awards each year to ten Canadian faculty members who have demonstrated a combination of teaching excellence and involvement in instructional development with colleagues. A special feature of the award is a three-day retreat for award winners, often followed by regular meetings which facilitate not only the publication of occasional position papers on teaching and learning issues, but also a genuine valuing of the fellows' commitment to teaching and acknowledgement of the intrinsic reasons which motivate them to devote time and energy to teaching. From time to time the fellows have issued public statements on educational issues which have given rise to considerable publicity and debate.

Other interesting ways in which teaching is being recognised are through the endowment of a "teaching chair," as recently announced by the Department of Mining Engineering at Queen's University, and the dedication of a seminar room at York University.

4.0 Improving the Quality of Teaching

Undoubtedly most faculty care about their teaching, and considerable self-esteem is involved in being seen by colleagues and students as a knowledgeable, competent, caring instructor. Despite the lack of formal preparation in teaching, many professors are involved in pedagogical innovation and experimentation, often on a relatively small scale, and sometimes funded by the sorts of development grants referred to above. Indeed, it is perhaps surprising just how many initiatives are underway, given the obstacles faced by faculty, including lack of time, absence of external sources of funding for instructional development, lack of recognition of teaching, and even the threat of negative student evaluations for teaching that departs from the traditional.

4.1 The Role and Impact of Instructional Development Centres

The influence of instructional development centres has already been touched upon in previous sections. Of the 17 major Ontario universities, 12 have established centres — most of them quite small, with two or three professional staff, usually holding faculty appointments. The

remainder have committees on teaching and learning which sponsor instructional development activities on a more limited scale.

Typical activities of centres include consultation on teaching with individual faculty members and departments (including provision of advice on course planning, course evaluation, teaching evaluation and instructional innovation), sponsorship of conferences, workshops and courses for faculty and teaching assistants, and maintenance of a specialised resource library on teaching and learning in higher education. Many centres coordinate a variety of resource networks including peer-consulting and mentoring for new faculty, administer a small grants programme to fund teaching innovations, and produce occasional publications such as newsletters and handbooks on teaching and learning. Although not a major emphasis for most Ontario units, some centres are also involved in research on teaching and learning issues. For example, the unit at Brock University encourages and supports faculty members interested in conducting action research on their own teaching. A few centres have established important links with students — for example the Queen's instructional development centre, which has received substantial funding from the Alma Mater Society. It is also common for centres to have an influence on a wide range of issues affecting the institutional learning climate — for example, they may be asked for advice on curriculum reform, educational technology, classroom design and teaching evaluation. They also frequently play a major part in developing university policy in such areas through involvement in Senate committees.

Hence the role of instructional development centres in enhancing teaching effectiveness is more subtle and indirect than is generally supposed, and their impact is harder to gauge than simply measuring the number of faculty who have attended workshops or sought advice on a teaching problem. Nonetheless, there is persuasive evidence of positive impact from Australia, where such units have existed for considerably longer than in Canada. In 1981, Johnson (1982) carried out a comprehensive review of staff development units in all Australian universities and concluded that despite their modest resources such Centres had had a major impact on improving the quality of teaching and learning.

It is important to recognise, however, that the staffs of such units are much too small to have extensive personal contacts with most faculty and graduate students in their institution, and hence centres must use a variety of means — direct and indirect, practical and political — to change teaching methods and enhance instructional effectiveness. One testament to their success is the growth of such centres in a time of budgetary constraints. As one of the few sources of institutional expertise on teaching and learning methods, centres appear to have had considerable success in raising consciousness about the importance of teaching, in legitimizing the expression of concern about teaching, and in demonstrating that teaching is a craft that may be studied and learned, not an esoteric art to be practised successfully only by a few "born teachers". Interestingly this last point was also made by the students from the focus group we conducted. Their view was that Education faculty members were more sensitive to pedagogical issues and that this translated directly into an enhanced ability to teach and communicate. From this, they agreed that "a simple awareness that teaching is a skill that can be shaped and improved goes a long way in achieving a positive classroom experience."

4.2 Other Sources of Teaching Development

Although instructional development centres have provided a focus for a wide variety of development activities, many development initiatives take place with minimal coordination or support from such a unit and in other cases with no involvement at all. One example that required some early support and guidance from a centre, but after that survived with the centre providing only a coordinating role is the idea of "peer consultation networks" (originally developed at the University of Alberta), in which faculty act as consultants to each other to enhance teaching effectiveness. Several universities in Ontario have well-developed consulting networks which also function as mentoring systems for new faculty, while some departments and Faculties have developed their own mentor systems (for example, the University of Waterloo and Erindale College, University of Toronto). These support mechanisms can be especially important for women faculty. The "chilly climate" that exists in universities for women and other marginalized groups has been well documented (see, for example, Hall and Sandler, 1984). Indeed, according

to the students in our focus group, "Despite recent advances, considerable bias against females in the form of insinuations during teaching still remains in the traditionally 'male' disciplines." Networks such as the ones described above can be important life-lines and can also function politically to improve the institutional climate for everyone.

Individual faculty members contribute to the professional development of their colleagues in a variety of (often invisible) ways, including participating in a consulting network as described above, giving workshops and seminars on teaching within their own department and beyond, by providing instructional development to the teaching assistants in their own courses, or by supervising the teaching practica, where such exist, of graduate students. A more intensive commitment to the development of one's own teaching and the teaching of a colleague is demonstrated by engaging in peer-pairing (Katz and Henry, 1988), in which two colleagues team up, over an extended time period, for the purpose of providing each other with mutual support and feedback on their teaching effectiveness.

Support for teaching development at several universities is also provided by institutional support services such as writing and study skills programmes. For example, at York University, instructors experienced in academic writing and critical skills development provide assistance to faculty and teaching assistants in such areas as course design, designing assignments, and developing students' critical thinking skills.

In a few cases the discipline associations have played a role in instructional development. Notable examples from the professions include the Law Teaching Clinic, co-sponsored by law schools across Canada, which each year brings law professors together to talk about teaching and learning issues, and the TIPS (Teaching Improvement Project Systems) programme, used in several medical schools to train clinical teachers. The Canadian Mathematical Society has for many years supported the activities of an Education Committee which, in recent years, has sponsored sessions on university teaching and learning at the bi-annual meetings of the society and established a regular column on teaching and learning in the Society's monthly newsletter.

At a regional and national level there are a variety of interdisciplinary annual conferences on teaching, including the very successful events sponsored by STLHE, and even an electronic discussion network on teaching, run by the same organization.

4.3 Teacher Education Programmes and Teaching Practica

As mentioned above, most Ontario academics have no formal training in teaching methods, but the growth of instructional development centres has led to workshop and seminar programmes on teaching and learning that are attended by many faculty and graduate students. A number of universities (for example, Guelph, McMaster, Waterloo, Western Ontario, York) offer graduate courses on university teaching and learning, and programmes of instructional development for teaching assistants are now very common. At a minimum these programmes provide an initial orientation to teaching, with follow-up seminars, workshops and supervised micro-teaching sessions throughout the year.

At several universities, for example Western Ontario and Queen's, graduate students themselves are increasingly becoming involved in their own teaching development. And at York University the Canadian Union of Educational Workers has taken an active role in encouraging its members to engage in teaching development by collaborating with the university administration to sponsor a graduate student to work with the Centre for the Support of Teaching to design and coordinate programmes for teaching assistants. One outcome of this has been the development of a peer-support/mentoring network of graduates students willing to act as resources in teaching for their colleagues. Another innovation at York is the University Teaching Practicum, designed in collaboration with the Faculty of Graduate Studies to provide graduate students with a comprehensive programme of preparation in the theory and practice in university teaching. An important compulsory component of the teaching practicum is the requirement that graduate students participate in workshops on the pedagogy appropriate to teaching their own discipline. Several of these workshops have been designed collaboratively by the relevant department and the Centre.

4.4 The Role of the Department

In the last analysis, as Lee Shulman (1993) has argued, greater reward and recognition will be attached to teaching only when we change its status from private to community property. In this area instructional development centres have played a catalyst role in stimulating change and removing faculty from their "pedagogical solitude" by providing opportunities for them to meet and explore critical incidents in their teaching. Another strategy Shulman suggests is to reconnect teaching to the disciplines. Notwithstanding our earlier remarks that teaching is a craft that can be studied and learned, there is more to good teaching than technique. Teaching depends on time and place and context; teaching strategies appropriate for teaching in one discipline may be ineffective in another.

The department chairperson is, as yet, a relatively untapped source of energy in promoting a climate where teaching is discussed, and where faculty are encouraged to document and disseminate their pedagogical scholarship, allowing it to become "community property," capable of external evaluation and thereby deemed valuable. Examples of such departmental climates exist. For example, Rogers (1988) provides a description of the Mathematics Department at the State University of New York at Potsdam where the chairperson, over a period of 17 years, transformed the department into one of the top producers of mathematics majors in the USA. At the time of her study, almost 20 per cent of all degrees in the college were in mathematics, in contrast to less than 1 per cent in the country as a whole. As reasons for the success of this department, she cites a variety of factors which may be characterized as a community where teaching matters and is valued and one which is marked by the very strong leadership of the department chair. There are promising signs in a number of Ontario universities that department chairs are involving themselves more actively in promoting the instructional development of the faculty and graduate students in their unit.

5.0 Exploring Areas for Changing the Emphasis on Teaching

In this section we have selected areas that show the most promise for enhancing student learning and producing desirable changes in learning effectiveness. The first theme involves curriculum reform, including course content, instructional methods and encouraging students to take more responsibility for their own learning. The second theme relates to broadening the conception of university teaching and the third addresses the importance of providing the future professoriate with appropriate education in the theory and practice of university teaching and learning.

5.1 Curricular Change

At a time of rapid technological and social change, the knowledge and skills needed by graduating students may be outdated within a few years of their entering the workforce. Obviously, then, an important aim of university education should be to teach some relevant generic skills in addition to the knowledge and theory appropriate for particular disciplines. Such skills include problem-solving and critical thinking, oral and written communication, the ability to work both independently and collaboratively, sensitivity to underlying values and ethical issues, and the aptitude to "learn how to learn" throughout their lives and from a wide range of sources (see Knapper and Cropley, 1991). Surveys of Canadian faculty show that such learning goals are shared by many professors; however, a good deal of university teaching probably fails to fulfill such objectives (Knapper, 1990).

The problem with university curricula lies not just in *what is taught*, but in *how it is taught*. Most faculty readily agree that students should learn how to become more independent, self-directed learners. Yet prevailing instructional methods are largely teacher-centred and didactic, too often stressing coverage and mastery of a body of content, and neglecting active learning strategies that are needed for students to acquire higher-order cognitive skills and deeper understanding (Ramsden, 1992). We have already noted a move to more problem- and project-based teaching in the professional schools, and there exist a variety of ways in which students can learn from each other and even play a role in assessing each other's work. Such methods have been used successfully in the USA and Britain (for example, see Boud, 1988), and are well worth more scrutiny in Ontario.

Curriculum planning and review

Academic programmes tend to be planned exclusively on the basis of traditions in the discipline and availability of faculty expertise. At worst this can produce curricula that reflect the idiosyncratic interests or preferences of professors rather than the needs of students and the society they will serve. Curriculum planning is often done in a relatively amateurish manner, with little attempt to specify programme objectives or to measure the skills, knowledge, and values students acquire as a result of their time at university. However, some institutions in the USA (for example, Alverno College) have made great strides in developing procedures for programme planning, using carefully structured learning goals and repeated measures to determine student progress towards achievement of such objectives during their time at university. Closer to home, the University of Guelph, in a recent strategic planning discussion paper, has proposed adopting a similar process aimed at restructuring itself into a "learner-centred" university.

Curriculum review is common in Ontario for graduate programmes and, in some universities, is also undertaken at the undergraduate level. However, such reviews generally focus on the mix of courses and qualifications of faculty, and ignore issues of teaching methodology and learning outcomes. There are some encouraging exceptions. Nonetheless many conventional reviews tend to reinforce existing practice and rarely result in substantive change. For this reason we are not attracted to the "academic audit" approach as recently introduced in Britain. Nor are we convinced that the American "value-added" schemes for measuring student achievement on standardized tests are sophisticated enough to tap the higher-order thinking skills we regard as essential in a successful university graduate.

Resource-based learning

One promising approach to curriculum planning is resource-based learning, which begins with the careful specification of learning outcomes and assembly of learning materials from existing sources. Students, working independently or in small groups, undertake the necessary learning to fulfill course goals, with faculty acting as planners, consultants, and guides. Learning materials are assembled from sources that are already available, not specially prepared (see Atrill, McLaney, and Gibbs, 1994). Such an approach might be especially attractive in Ontario, where most universities already have access to packages of materials prepared for distance education. While the capital outlay for such an approach is sizeable, the institution benefits in the long run. Faculty enjoy the shift in their role from expositor to facilitator and guide, while students find such courses more stimulating.

A related curriculum initiative at the University of Portsmouth, England, has turned the conventional notion of course planning on its head by defining an instructor's responsibilities in terms of student learning hours rather than faculty teaching hours. Courses are planned in terms of the tasks students must undertake to meet specified course objectives (for example, in a geography course these might involve doing field work, preparing a project notebook, writing reports, etc.), and the instructor's job is to manage this process to maximize learning effectiveness, offering lectures if appropriate, but not otherwise.

Challenging the sacred cows

Of course radical curriculum change has taken place in some Ontario universities, especially in the professional schools. There is much less incentive to change in the traditional arts and science disciplines, where desirable learning outcomes are more difficult to define. Nonetheless, in these areas a different kind of reform is underway to reexamine and transform traditional curricula. For example, course content should reflect the experiences of all people, and not just one cultural group or gender, and teaching should allow for all voices to have access to classroom discourse. Faculty need opportunities to develop sensitivity to a wide range of issues having to do with race, class, gender and sexual preference, and how these affect the classroom experience for all students, and to develop skill in handling conflict and difficult issues in the classroom.

It should also be noted that where major reform has taken place it has often led to modifications in academic structures that are generally thought to be sacrosanct — such as what constitutes a course or an academic credit and how student work is assessed and graded. Such

changes will often be necessary if we wish to plan curricula not simply on the basis of past practice but on principles of equity, justice and access as well as to reflect what instructional strategies are most effective for achieving sophisticated learning goals.

5.2 Broadening the Conception of Teaching

Many faculty members, administrators, students, and members of the public define teaching primarily in terms of time spent in the classroom "delivering" instruction. Hence the public disquiet about the perceived working hours of university professors. This is not a view of university teaching we share. Moreover, if good teaching is defined as facilitating student learning, it is not a conception that receives support from empirical research, since the predominant method of teaching (the lecture) is not the most effective for this purpose, nor is the classroom the place where most learning occurs. Yet planning decisions about instructional programmes are frequently made on the basis of teaching "load", which in Ontario refers to the number of scheduled class hours per week.

University teaching clearly involves much more than classroom presentation, and encompasses a wide variety of other activities which are mainly invisible to the public, for example: course and curriculum planning; designing and marking assessment tasks (exams, papers, projects, etc.); supervising undergraduate and graduate theses and practica; interacting with students to provide feedback on their learning progress; offering guidance and counselling to students; keeping abreast of developments in the field (by reading, research, attending conferences); and perhaps giving advice to colleagues on teaching issues.

Learning outside the classroom

There is a good deal of research from many sources indicating that the most important learning takes place outside the classroom and that, if anything, it is assessment tasks that play the major role in guiding what, and how much, students study (Pascarella and Terenzini, 1991; Snyder, 1971). Indeed some recent research in Holland has shown that the amount of time students spend learning is a relatively constant total, and that the more time they spend in formal classroom situations, the less time they devote to independent study — and vice versa. Hence if we wish to have students take more responsibility for their own learning, it is important to broaden our conception of teaching by recognizing that the most important aspect of the process may not always be what takes place during scheduled classes. Moreover, if attending classes primarily involves passive listening and noting down information that might be disseminated more accurately in other forms, then the efforts of both professor and students may be mostly wasted. Lengthy hours spent in lectures are usually justified on the grounds of the need to "cover" course material. But there is abundant evidence, we emphasize again, that hearing an explanation from the instructor is insufficient to guarantee understanding and application by students (Ramsden, 1991).

Teaching to promote "deep" learning

The point just made is underscored by some recent European research that has examined the conditions under which university students acquire a deep approach to learning (Ramsden 1992). By "deep approach" here is meant the ability to focus on the overall meaning of material, relate ideas together to construct new concepts — as opposed to a surface approach in which students focus mainly on memorizing details. Ramsden and Entwistle (1981), in a study of several thousand students in British universities, found clear relationships between deep learning approaches and the type of teaching students experience. In particular more depth was associated with good teaching (faculty who are well prepared and confident), openness to students (faculty are friendly, flexible and helpful), freedom in learning (students have a choice of what they study), clear goals and standards (especially in assessment tasks), vocational relevance (courses are seen to be relevant to the student's future career), social climate (there is encouragement of good academic and social relationships between students), a realistic workload, and courses that stress individual study versus formal, didactic teaching. Aspects of these findings have been replicated in other settings, including Ontario, and the teaching characteristics listed above have been suggested in Australia as criteria against which to measure departmental teaching effectiveness for the purpose of academic audits.

Reaffirming the teacher/scholar role

Many departments in Ontario universities make serious efforts to maximize learning effectiveness and some adopt the type of strategies suggested by the research of Ramsden and others. But this takes considerable time and effort, and too often academic rewards go for research achievements and not for work on devising new curricular and teaching approaches. The key, as always, lies in the reward system, which in principle treats teaching as equal to research, but in practice often discourages effort put into instructional development and innovation. As mentioned before, changing the reward system is easier said than done, and it is not a simple matter to suggest strategies for reforming a system that is entrenched not just in Canada, but worldwide. While administrators may certainly claim the principal share of the responsibility for having penalized colleagues who put their main academic efforts into teaching, it must be acknowledged that it is faculty who sit on tenure and promotion committees and who have helped maintain the status quo.

Surely it is not too much to expect that academic departments should develop educational objectives and begin to demonstrate how their teaching programmes lead to measurable outcomes. And surely faculty who play a leading role in this process can be rewarded through appropriate academic advancement. This will require recognition and valuing of differential academic roles for faculty, with some acting primarily as educators, some mainly as researchers, and many undertaking both roles, though not always in equal proportions. We must emphasize that this does not imply, *and should not imply*, that educators would automatically carry higher teaching "loads" in the traditional sense of the term. Their extra responsibilities might well be reflected in work on curriculum design, counselling students, supervising teaching assistants, etc. Dedicated teachers already include this work as part of their function — the difference is that they would now have this contribution recognised in assigning their duties. This may well require negotiated agreements in which the nature of a faculty member's responsibilities are specified in advance, so that there can be no argument later about what was expected. In this respect the Portsmouth University scheme mentioned above for assigning responsibility in terms of student learning hours deserves serious consideration.

None of the suggestions outlined above should be taken to argue that a professor's responsibilities would be immutably fixed through a career — indeed it is likely, and desirable, that faculty members would have different emphases at different points in their academic lives. We are arguing here both for flexibility and for a recognition that different faculty members contribute to the work of the university in different ways. For individuals placing their greatest emphasis on teaching there is, we would contend, an obligation to adopt a scholarly and reflective approach to this endeavour — for example by attending conferences on teaching and learning or contributing to educational literature, as suggested by Boyer (1990) in his concept of the "scholarship of teaching" and discussed further below. We also believe it is essential to document teaching accomplishments through such means as compilation of a teaching dossier. Those faculty who wish to place major emphasis on their role as researchers should also be obligated to do some teaching, since teaching and learning are at the heart of the university. If teaching were to be seen as both a professional and a scholarly activity, we might be able to return to the original conception of the teacher/scholar, and the notion that teaching and scholarship are inextricably linked would take on new meaning, instead of serving as hollow rhetoric.

5.3 Fostering the Development of Teaching

One of the ironies of academia is that university professors receive no formal education in one of their principal duties — teaching — but are hired and promoted on the basis of published scholarship, and creative exhibitions or performance. With the growth of instructional development centres, most Ontario universities now have regular workshops and seminars on teaching and learning for graduate students as well as for new and experienced faculty, and these are reasonably well attended. However, they fall short of a formal teacher preparation programme, and in any case there are many faculty who never attend such events. As mentioned before, a number of Ontario universities now offer graduate-level courses on university teaching and learning. These, too, have been well received and are perceived as very valuable, especially for beginning faculty and senior graduate students who plan to enter academic life. However such

courses have restricted enrollments and probably do not reach the instructors who need them most.

A credential in university teaching and learning for faculty members

It might be argued that professors have coped successfully without formal teacher education in the past and do not need it now. If so, then academics would be one of the few groups who see no need for ongoing professional development as a means of keeping abreast of current developments and innovations affecting their craft — in contrast, say, to physicians, dentists, nurses, and engineers, where ongoing involvement and continuing education is seen as a requirement to maintain accreditation.

Should some form of initial preparation in teaching be required, as was done, for example, in some Eastern European universities and in the old British polytechnic system? Several Australian universities (for example, the University of Adelaide) do in fact now demand that all new appointees participate in a teaching development course prior to the granting of tenure. Such a requirement might be unpopular, and there are presently inadequate resources to mount such programmes. A more practical approach might be for Ontario universities to collaborate in devising a credentialing system for university teachers similar to the one already in existence in Britain.

In Ontario the components of such a programme could include enrollment in some of the courses that are already in place, plus a substantial supervised practicum in university teaching. A worthwhile aim would be for faculty members to see themselves as "reflective practitioners" of teaching (Schön, 1987) — a role that most faculty readily accept with respect to their involvement in research. According to Schön, the situations faculty confront in their teaching are complex and characterized by uncertainty, uniqueness and value-conflict. There are often no rational right and wrong solutions to the problems that faculty face in the modern university classroom. Instead, learning to teach is very much a matter of learning from reflecting on experience. And to do that faculty need colleagues and a climate in which reflection and discussion is encouraged and valued. Models for such an approach already exist at York University (the University Teaching Practicum) and in the University of New Brunswick's Graduate Diploma in University Teaching. Help in developing and delivering such initiatives could be sought from those faculty who are already involved in educational development in many Ontario universities, including professional staff in instructional development centres, members of graduate programmes in education, and those involved in peer consulting networks. STLHE could provide an important coordinating role in such a scheme.

Involvement in this type of teaching development programme need not be compulsory, but might be strongly recommended by universities, especially for new appointees. Incentives could be provided in the form of release-time from other duties. If such programmes prove effective, completion of such a credential might eventually become the norm for all new academic appointments and a requirement for proceeding to the first sabbatical and gaining tenure.

Mandatory teacher education for graduate students

Another teacher education issue involves teaching assistants, who offer approximately 40 per cent of the instruction in Ontario universities, generally without any formal preparation, and often with little supervision or evaluation. Here there seems to be no good reason why such preparation should not be mandatory. Given the limited resources in instructional development centres, and the importance of connecting teaching development to the disciplines, it is essential that faculty take on the responsibility for preparing, supervising, evaluating, and selecting teaching assistants to ensure competence in teaching. The department is the primary employer and knows best the particular requirements of the discipline and the particular tasks that TAs must perform.

Help with devising programmes and dealing with pedagogical issues is readily available from instructional development centres and as mentioned above models for such an approach already exist at York University and the University of New Brunswick. It may be argued that this represents yet another drain on scarce departmental resources. But failure to provide teacher education is a dereliction of responsibility both to the teaching assistants themselves and to the undergraduate students they instruct in tutorials and labs.

6.0 Overcoming Barriers to Change

Changing any culture is a difficult matter, but Gibbs (in press) has recently argued that, at least in Britain, changes in teaching practice have been brought about by a combination of internal and external pressures. The same seems to be true for Australian universities, where there have been considerable changes recently in the emphasis placed on teaching with respect to faculty roles and rewards and even for institutional planning purposes (Cannon, 1994). In Canada external pressures are increasingly evident (from government, employers, professional associations) and in some universities there is a strong lobby for change from students. Senior administrators might capitalize on this by articulating a clear vision of their institution's learning goals and offering incentives to those academics units that are prepared to try and meet them.

6.1 Changing the Reward System

Many of our suggestions for change involve devoting more time and effort to teaching, and it is unrealistic to expect faculty to respond positively without changes in the reward structure. As argued above, this may also entail greater differentiation of academic roles and clear statements about what is expected of faculty and how effective performance of those duties will be assessed. The Faculty of Medicine at Queen's has already taken some steps in this direction by allowing faculty to select two out of three academic roles for the purpose of performance evaluation. These are "investigator-scholar," "educator-scholar," and "clinician-scholar," with educator-scholar required as one of the choices. This does not undermine the university tradition that all professors combine scholarship and teaching, but it does require a broader definition of scholarship, along the lines suggested by Boyer (1990), to encompass to what he refers to as a "scholarship of teaching" (see Table 1). Indeed, we might also need to broaden our definition of research to include dissemination of results not just in the specialized research community, but to a wider audience — perhaps through teaching, perhaps through more popular accounts of the work and its implications.

Table 1	
A NEW CONCEPTION OF SCHOLARSHIP	
Scholarship of Discovery	Pure research, extension of the frontiers, the pursuit of knowledge for its own sake.
Scholarship of Integration	Synthesis of knowledge, looking for new relationships between the parts and whole, the past, present and future. An approach to knowledge across disciplinary boundaries.
Scholarship of Practice	The application of knowledge to the problems of society, especially through the professions such as medicine, law, engineering and social work.
Scholarship of Teaching	Includes knowledge of effective ways to represent subjects, and the ability to draw the strands of a field together in a way that provides both coherence and meaning; placing what is known in context and opening the way for connections to be made between the knower and the known. In effect, turning scholarly inquiry into the creation of meaning.
Source: Ernest Boyer, <u>Scholarship Reconsidered</u> , Carnegie Foundation, Princeton, 1990	

The matter of rewards for teaching is one of the most difficult issues to deal with, since there is some evidence that, although faculty express dissatisfaction with the present situation, they are often hesitant to embrace radical change in the reward structure, evaluation methods, and career paths. One interesting initiative took place at the University of Texas (Austin), where departments were challenged to develop alternative reward schemes that would better recognise the importance of teaching, university and community service, and applied research. Financial incentives were provided for departments willing to overhaul their existing procedures, and this resulted in substantial changes in faculty roles and attitudes, as well as provoking a lively debate throughout the institution.

Finally, although it is essential that teaching efforts be recognised through the tenure and promotion process, it is also necessary that the centrality of teaching be acknowledged in other university policies — for example in the granting of sabbatical leaves for projects related to instructional and curriculum development.

6.2 Preparing University Teachers

A second issue that has already been addressed is faculty member's lack of formal preparation in teaching — both initial preparation and through periodic upgrading of skills. In the previous section we suggested that a collaboratively developed credentialing system might provide an incentive for change. In the case of teaching assistants, we proposed that an initial teacher education programme and ongoing supervision be required and offered through departments with the assistance of the local instructional development centre.

6.3 Ending Pedagogical Solitude

Other barriers include the academic tradition of competition (for grants, for grades) rather than collaboration. Faculty frequently pride themselves on their independence and even idiosyncrasy, and the notion of being a "team player" is often disparaged. Teaching is usually a solitary, even secret, activity and evaluation policies often discourage students from collaborating on learning projects. Yet the world outside academia increasingly requires people to work collaboratively in order to solve problems more effectively. Academics are quite good at this when it comes to research, and students collaborate effectively in the case of many extracurricular activities. Indeed, the personal rewards for such collaboration are often substantial. We have proposed that one way of changing this culture is for department chairs to take a leadership role in promoting the idea of teaching as "community property," an activity that should be discussed, disseminated, evaluated and hence valued and rewarded in the same rigorous way that is currently applied to research activities.

7.0 Summary

In this paper we set out to assess current policy and practice in Ontario universities with respect to the emphasis placed on learning and teaching effectiveness. We concluded that while important policies are in place that appear to value teaching, the centrality of teaching in the university's core mission is not reflected in current practice.

The major barrier we identified to increasing the emphasis on teaching is a reward structure that accords very low value to teaching activities. This is evidenced, for example, in reluctance to develop criteria and authentic and varied procedures for the evaluation teaching; the fact that there is no importance attached to preparing future faculty members in pedagogical strategies appropriate for teaching their discipline; and, finally — but very importantly — a culture of pedagogical isolation that at worst leaves faculty members to their own devices when developing their teaching and when confronting problems in the classroom, and at best sets teaching apart from the "real" work of the discipline.

In assessing the current state of innovation in Ontario and the role played by instructional development and other centres in promoting teaching development, we described a large variety of innovative programmes and practices which already exist and on which we might model future initiatives to change the current state of teaching. The main recommendations arising out of our report are outlined below.

7.1 Recommendations

- The reward structure in Ontario universities should be changed to reflect a greater recognition of the importance of teaching in an academic career. Accompanying this there should be provision for faculty to choose different emphases throughout their careers, including choosing a primary teaching focus, a primary research focus, or a combination of both. Faculty should have the freedom to move from one focus to another as their careers develop, and, in line with Boyer's expanded definition of scholarship, regardless of their primary focus at any particular time, all faculty should be provided with opportunities to teach and to disseminate the products of their scholarly work.
- University tenure and promotion policies should reflect all aspects of teaching, including course preparation, curriculum reform and development, devising innovative teaching approaches, supervising and counselling students, and instructional development with colleagues. The academic reward system should recognise contributions in these fields as being just as important as the delivery of instruction through traditional means such as lectures and tutorials. Time spent on such aspects of teaching should be taken into account when assigning departmental responsibilities, and involvement in such activities should be seen as a legitimate focus for sabbatical leaves, development grants, or release time.
- Faculty should be encouraged to document their teaching activities and accomplishments as thoroughly as they document their research achievements. This might best be done by maintenance of a teaching dossier, which can serve as evidence for major career decisions as well as providing a useful basis for reflection and self-improvement.
- Department chairs should be encouraged to take a leadership role in creating a departmental climate that encourages and values teaching development. Departmental reviews should devote as much attention to quality teaching as they do to the qualifications and research productivity of faculty. Teaching accomplishments — if possible with evidence for improved student learning — might be documented in a type of "departmental teaching dossier," as is currently done in Australia for purposes of the regular quality assurance procedures. Incentives should be provided, both within and outside of universities, to departments which make an outstanding contribution to the improvement of student learning.
- Universities should engage in curriculum reform and review that focusses both on course content and on teaching methodology, and examines academic programmes in relation to learning outcomes and student attainment, including the adequacy of preparation for future careers. Careful consideration should be given to the idea of developing learner-centred objectives for all academic programmes, and to rethinking current course structures and individual programme requirements in order to create more flexible opportunities for teaching and for active learning. Curriculum reviews should pay due attention to the importance of teaching generic intellectual skills, including encouragement of life-long learning — or what some commentators have called "learning to learn." Appropriate institutional resources should be made available to academic units who undertake major reviews in the form of funds, and release time and academic recognition for the faculty involved.
- Universities should continue to support instructional development centres, and consider establishing such units where none presently exist. Centres should be urged to place highest priority on establishing networks of faculty to serve as change agents within

their own disciplines — for example by lobbying for curriculum change, exchanging information about promising teaching innovations and serving as mentors to new faculty.

- A teaching credential, preferably along the lines of a "reflective-practicum," should be developed for Ontario university faculty. Initially incentives should be provided for all faculty to participate in the programme and ultimately, if proved to be effective in improving teaching, obtaining a teaching credential should become a requirement for tenure and for proceeding to the first sabbatical.
- A teaching credential, again along the lines of a "reflective-practicum," should be developed in collaboration with academic departments and be required of all graduate students who plan to pursue an academic career. In particular, education in university teaching and learning should become part of the degree requirements of all doctoral programmes.

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**Some Perspectives on Academic Freedom,
Autonomy and Accountability**

March 1995

Introduction

This paper purports to examine the relationships which may (or may not) exist between academic freedom, autonomy and accountability as these concepts apply to universities. In fact, it is largely a discussion of the concept of university autonomy and the way in which academic freedom and accountability relate to it. In many respects, the paper may also be seen as an examination of the nature of university-government relationships since these concepts and their inter-relatedness are among the principal ones which define the way in which the state and publicly-supported universities interact. It is intended that the paper provide some background to these issues in the context of OCUA's Resource Allocation Review and it is hoped, as well, that it may stimulate some on-going discussion.

The paper begins by defining the nature of academic freedom and by espousing its fundamental importance to the mission of the university. It examines the reasonable limits which must be attached to academic freedom and explores how academic freedom, if it is to be appropriately defended, must be seen to differ from university autonomy. Various perspectives on autonomy are then reviewed with particular focus on its functions as a buttress of academic freedom and as an important organizing principle for professional bodies. With respect to the latter, the distinction is drawn between policy autonomy (which is shared with government) and administrative autonomy (which is essential for flexible and responsive organizations).

The paper then proceeds to describe the historical context within which pressures have developed for enhanced government intrusion into university affairs and various views on the acceptable limits to autonomy are noted. The emergence of accountability as an underlying theme of university-government relations in the 1990s is then examined and the implications for autonomy of the demand for greater accountability are discussed. Finally, the need, in the public interest, for reconciliation of government and university perspectives on these issues is advanced and various reconciling mechanisms are examined.

The paper draws extensively on the literature (largely North American) which has developed on these concepts, though it does not claim to have mined that literature comprehensively.¹ It should be noted that almost all of the literature emanates from the academic community and hence, the discussion is, in some respects, one-sided. As William Davis, then Minister of Education and University Affairs in Ontario, noted some thirty years ago, "... the academic community has been heard more frequently and, to be frank, has been more articulate in expressing viewpoints about what the appropriate relationship should be between the government and the universities of this province."² Davis' comment remains as apt today as it was three decades ago.

Definition of Academic Freedom

The concept of academic freedom flows from the fundamental nature of the university as an institution dedicated to the search for knowledge and its transmission to succeeding generations.

Academic freedom is perceived by some to have a number of dimensions. In its most fundamental form, however, it is about freedom of enquiry and freedom of expression. Edward Shils places the development of the concept of freedom of enquiry in a university context historically in advance of the development of freedom of expression and attributes its emergence to a realization in certain societies that through it:

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1. The relevant literature, particularly on the issue of university autonomy, is largely from the United States. Canadian sources have been used wherever possible but many are descriptive (of events) rather than conceptual in nature.
 2. From a lecture by William G. Davis published in *Governments and the University: The Frank Gerstein Lectures 1966*, York University, by William Mansfield Cooper, William G. Davis, Alphonse-Marie Parent and Thomas R. McConnell, Macmillan, Toronto, 1966, p. 23.

... new ideas would be discovered, that sound old ideas would be appreciated in a more critical way, and that unsound ones would be discarded. The argument for academic freedom was roughly the argument for liberty in general put forth by John Stuart Mill in "On Liberty."³

Largely within the present century, academic freedom has become part of a larger trend towards freedom of expression:

This freedom has evolved from earlier times when the espousal of unpopular ideas or theories different from the traditional dogma resulted in the termination of faculty for such acts. Academic freedom grants faculty the ability to speak freely inside and outside the classroom, to express political and religious ideas different from those of his or her employer, and to search out new and different discoveries, no matter how unique or controversial.⁴

As expressed by the Canadian Association of University Teachers, academic freedom entitles members of the academic community: "... regardless of prescribed doctrine, to freedom in carrying out research and in publishing the results thereof, freedom of teaching and of discussion, freedom to criticize the university and the faculty association, and freedom from institutional censorship."⁵

In Shils' view, the essential nature of academic freedom remains fundamentally intertwined with the underlying purpose of the university:

Academic freedom ... is the freedom to do academic things, to express beliefs which have been arrived at by the prolonged and intensive study of nature, human beings, and societies and of the best works of art, literature, etc., created by human beings, and by the reasoned analysis of the results of those prolonged and intensive studies. These beliefs, arrived at by careful study and reflection, must be made as true as they can be. Thus, academic freedom is the freedom to seek and transmit the truth....⁶

Academic freedom extends to those who enjoy it:

... the freedom to teach according to [one's] convictions about the matter taught, arrived at by careful study and with due respect to what is thought by qualified colleagues, without ... sanctions.... It certainly includes the freedom to disagree with colleagues about matters of substance and to do so in accordance with reasonable evidence and arguments. It means the freedom to teach in ways which the teacher regards as effective as long as respect is shown for the rules of reasonable discourse, for the dignity of the student, and for general rules of propriety. It means the freedom to choose one's problems for research, to use the methods one thinks best, to analyze one's

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3. Edward Shils, "Do We Still Need Academic Freedom?" *The American Scholar*, Volume 62, Number 2 (1993), p. 187.
 4. Stephen G. Olswang and Barbara A. Lee, "Faculty Freedoms and Institutional Accountability: Interactions and Conflicts," *ASHE-ERIC Higher Education Research Report*, Number 5, 1984, p. 17.
 5. Canadian Association of University Teachers, *C.A.U.T Handbook*, Ottawa, 1979, p. 46
 6. Shils, *op. cit.*, pp. 189-190.

data by the methods and theories one thinks best, and to publish one's results. Academic freedom, in its specific sense, is the freedom to do academic things within the university.⁷

In this most fundamental form, wherein freedom of enquiry and freedom of expression are combined, academic freedom enjoys broad support both within and outside of the university community.⁸ That support flows from a broad consensus about the importance of universities to our social, economic and cultural advancement and about the importance of academic freedom to the university's fulfilment of its mission.

Now, I hasten to add that there is no question in my mind that in a democracy, academic freedom not only serves the needs of society but is essential to it. Freedom of thought and freedom of expression, freedom to teach, to study and to learn as one's conscience dictates, were never more important than today.⁹

As one moves away from these central elements of the definition of academic freedom, however, one enters progressively into territory around which less consensus is possible. Shils, for example, argues that:

Academic freedom is also the right of the academic to participate in those activities within the university which affect directly the performance of academic things. In the first instance, this includes the right and obligation of the academic to participate in the decisions regarding the appointment of teachers and research workers who will work in his or her own department. It also includes the right and obligation to participate in decisions regarding the substance and form of courses of study, examinations, the marking of examinations, and the awarding of degrees. At this point, academic freedom becomes the right and obligation to participate in academic self-government.¹⁰

This position has often been argued in a Canadian context. Archie Malloch, for example, describes academic freedom "as the capacity of the academy itself to function freely within a world larger than itself."¹¹

The extension of academic freedom, however, to encompass the principle of academic self-government transforms academic freedom from an individual right to a collective right and moves academic freedom into the domain of institutional autonomy (of which more will be said later). Further, it is increasingly recognized today, that there are a multiplicity of constituencies (not the least, students and staff) who have a legitimate stake in the academic life of the university

7. *Ibid.*, p. 190.

8. Though as Shils notes, this support does not and should not extend to "... the right to obtain financial support for one's research regardless of the assessment of the intellectual merit of the proposed investigation rendered by qualified referees or peers." Shils, *op.cit.*, p. 191.

9. Davis, *op. cit.*, p. 30.

10. Shils, *op. cit.*, p. 190.

11. Archie Malloch, "Academic Freedom and its Limits" in *Academic Freedom: Harry Crowe Memorial Lectures, 1986*, edited by Michiel Horn, York University, Toronto, 1987, p. 6.

community and the decisions at which it arrives. For such constituencies, the linkage between academic freedom and the right to academic self-government may seem inappropriate.

Shils also argues that academic freedom encompasses "... the right of academics to the performance of legal political actions, to be members of or otherwise associated with legal political parties or societies, to participate in the activities of these bodies as freely as any other citizen of a liberal democratic society."¹² This view is particularly germane in Canada where the struggle for academic freedom found significant expression in instances where such essential rights were being denied. Notwithstanding, it is generally acknowledged today that "... university professors undoubtedly have the same rights as private citizens to express political, social or economic views, to the media or in any public forum."¹³

For some, a further dimension of academic freedom relates to the exercise of discretion with respect to how academics spend their time in the exercise of their academic responsibilities. Here, principles of individual autonomy (which form an important element in the management of professional organizations) may become confused with principles of academic freedom.¹⁴

In the absence of demonstrable accountability regarding the extent and distribution of faculty workload, the exercise of this discretion (or the lack of information about it) has given rise to suspicion that faculty often serve their own ambitions rather than societal need.¹⁵ For many observers, supporters and critics alike, it is essential that universities be able to answer basic questions about the extent of faculty teaching loads, the magnitude of research responsibilities, or the amount of faculty time spent on community service.

However, the essential elements of academic freedom are today unassailable. The risk exists, nevertheless, that if the definition of academic freedom is blurred by its extension into unessential areas, it will become vulnerable to attack by those unable to distinguish among its component parts.

Limits on Academic Freedom

As much as academic freedom is generally regarded to be a right (at least in its purest sense), it is also seen to be a responsibility. To Shils, the most critical element of this responsibility lies in the integrity with which the academic profession is pursued.

Academic freedom is a qualified right; it is a privilege enjoyed in consequence of incumbency in a special role, an academic role, and it is enjoyed conditionally on conformity with certain obligations to the academic institution and its rules and standards. It is an immunity from decisions about

12. Shils, *op. cit.*, p. 191.

13. Peter King, "Academic Freedom, Tenure and Unpopular Views," *CAUT Bulletin*, April, 1989. Cited in *Reply to the Ontario Government: Academic Staff and the Ontario Government's Framework Document*, Canadian Association of University Teachers, Ottawa, 1994, p. 5.

14. While no author was identified as a proponent of this particular point of view, Olswang and Lee do comment on recent intrusions into the exercise of discretion over time as an element of what they perceive to be growing pressure on academic freedom. See below.

15. The notion of the "academic ratchet" has arisen in the literature on faculty productivity "whereby individual faculty members increase their discretionary time (time for pursuing professional and personal goals) largely by loosening their institutional ties and responsibilities." See William F. Massy and Robert Zemsky, "Faculty Discretionary Time: Departments and the Academic Ratchet", *Journal of Higher Education*, Volume 65, Number 1 (1994), p. 2.

academic matters taken on other than academic or intellectual grounds, by academic, governmental, ecclesiastical, or political authorities.¹⁶

Dressel carries this notion further by attempting to limit the application of academic freedom to areas of professional competence.

Academic freedom provides no cloak of security for scholars making pronouncements in other fields.... Academic freedom does not excuse and cannot and should not provide protection to the scholar who engages in intemperate expressions of personal opinion, in shoddy modes of investigation, or in biased reporting, even in his own field of scholarship. Academic freedom is a privilege; it presumes responsibility, objectivity and integrity.¹⁷

Moreover, academic freedom cannot be invoked to protect faculty from the constraints of the legal environment within which they practice their profession. In Canada, this would include provisions of the law with respect to obscenity, human rights, libel, or the promotion of hatred. For example:

Ontario human rights law clearly makes illegal racial or sexual threats, intimidation, violence or assaults by faculty directed against students or other members of the academic community. It prohibits corrupt bargains such as marks for sex. In this sense it limits certain forms of speech. Academic freedom cannot be invoked to justify such behaviour.¹⁸

Beyond these constraints which flow from the law, it is now also recognized that academic freedom cannot be used in such a way as to obstruct the equal opportunity of students to learn. Thus the university "... is justified in forbidding, through fair procedures, behaviour in the classroom which creates a persistently degrading and intimidating environment based on race, sex, or sexual orientation."¹⁹

Within this general context, academic freedom is not seen as protecting faculty from dismissal on grounds of incompetence, moral turpitude, or neglect of duty. Further, Bok argues that "... academic freedom does not convey a right to teach any subject one wants, or to indoctrinate one's students, or to encourage others to violate the rules of the institution."²⁰

Hence universities remain free "... to enforce institutional rules and to expect non-disruptive conduct from their faculty. Faculty retain the obligation to act in a normally ethical

16. Shils, *op. cit.*, p. 189.

17. Paul Dressel, "The Autonomy of Public Colleges," *New Directions for Institutional Research*, Number 26, 1980, p. 3.

18. Reply to the Ontario Government, *op. cit.*, p. 6

19. *Ibid.*, p. 8.

20. Derek Bok, *Beyond the Ivory Tower: Social Responsibilities of the Modern University*, Harvard University Press, Cambridge, Massachusetts, 1982, p. 26.

manner, both in their individual personal conduct and in the conduct of their research and teaching."²¹

While freedom of enquiry and freedom of expression, within these general constraints, seem relatively secure today, Olswang and Lee see recent financial pressures intruding upon academic freedom, as some more broadly perceive it.²² They note that

... fiscal restraints will impinge upon the traditional faculty freedoms of what to teach and what to research. [U.S.] Courts have generally favored institutions' authority to require faculty to perform their internally assigned tasks, even if the tasks are not of the faculty member's choosing."²³

Within this context, he adds that: "Provided the regulations or assignments are reasonable and are not applied as a pretext to infringe upon faculty academic speech, no violation of academic freedom has been deemed to occur."²⁴

Conrad Russell argues that: "The taking of money for teaching and research ... imposes a duty to engage in those activities."²⁵ While refusal to engage in teaching activity might readily be cited as breach of contract, it is more difficult to demonstrate how far academics discharge their contractual obligations with respect to the conduct of research. Here Russell argues that "... if persistent and long-term failure to do research can be shown, that must be recognized as an abuse of academic freedom."²⁶

Finally, Olswang and Lee note that:

Whether spawned by governmental reporting requirements, internal concerns for efficiency and effectiveness, or in response to external complaints or opportunities, colleges and university administrators will be compelled to examine the performance of faculty more closely than ever before. Equally – if not more – important to the future of higher education is the movement to review and examine the substantive performance of faculty, not just their objective time contribution. Simply putting in time does not promote excellence, nor does it produce good teaching or make new discoveries.... Thus, pressure has increased to discipline those who do not perform.²⁷

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21. Olswang and Lee, *op. cit.*, p. 17. Increasingly, for example, universities are developing policies with respect to conflict of interest as it relates to faculty activity.
22. Olswang and Lee fall prey to imprecise definition of academic freedom in the commentary they develop. For example, they use the terms "traditional faculty freedoms" and "faculty autonomy" as though they were synonymous with academic freedom.
23. Olswang and Lee, *op. cit.*, p. 36.
24. *Ibid.*, p. 38.
25. Conrad Russell, *Academic Freedom*, Routledge, London, 1993, p. 44
26. *Ibid.*, p. 45.
27. Olswang and Lee, *op. cit.*, p. 49.

Academic Freedom Differs from University Autonomy

There has been some dispute about the relationship between academic freedom and university autonomy. James Perkins noted that "autonomy for the university surely has its strongest case in its role as protector of intellectual freedom,"²⁸ At the same time, Eric Ashby was arguing that: "A country where political doctrine or commitment to a religious creed interferes with academic freedom cannot have free scholarship or good universities. By contrast university autonomy does not always and everywhere assume the same pattern."²⁹ In Ontario, during the same era, a similar dialogue was taking place. Davis took one side of the argument, saying: "Academic freedom and university autonomy, however, are not necessarily synonymous. Indeed, there are some who would suggest that even in a democratic society university autonomy is not necessarily essential."³⁰

In the following year, Ken Hare, in response, took an opposing view, arguing that university autonomy was but a form of academic freedom. "Academic freedom has two aspects. There is the freedom claimed by the individual scholar. And there is the autonomy of the university to which he belongs."³¹

In 1971, Berdahl tried to find some middle ground between these two positions by recognizing that "... academic freedom and university autonomy, though related, are not synonymous and that university-state relations in the one area may quite properly differ from those in the other."³² He added, however, that "... autonomy is related to academic freedom in that the latter is more likely to flourish in an autonomous institution."³³

At the same time, however, René Hurtubise and Donald Rowat reached a somewhat different conclusion, arguing for an alternative buttress for academic freedom:

It may be that academic freedom would be better protected if university autonomy were limited by the governmental adoption of a procedural law for its protection. Perhaps it should even be protected in Canada's constitution, as it is in West Germany: "Art, science, research and teaching shall be free."³⁴

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28. James A. Perkins, *The University in Transition*, Princeton University Press, Princeton, New Jersey, 1966, p. 14.
29. Eric Ashby, *Universities: British, Indian, American*, Harvard University Press, Cambridge, Mass., 1966, p. 321. Cited in *Statewide Coordination of Higher Education*, by Robert Berdahl, American Council on Education, Washington, 1971, p. 9.
30. Davis, *op. cit.*, p. 32.
31. Kenneth Hare, *On University Freedom in the Canadian Context*, University of Toronto Press, Toronto, 1968, p. 11. This view was re-iterated by the Association of Universities and Colleges of Canada in its 1988 *Statement on Academic Freedom and Institutional Autonomy* in which institutional autonomy is described as the "collective form" of academic freedom.
32. Statewide Coordination, *op. cit.*, p. 5.
33. *Ibid.*, p. 8.
34. René Hurtubise and Donald C. Rowat, *The University, Society and Government: The Report of the Commission on the Relations Between Universities and Governments*, University of Ottawa Press, Ottawa, 1970, p. 68. In Great Britain, academic freedom was enshrined in an amendment to the Education Act of 1988 and was described as "... the freedom [for academics] within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions without placing themselves in jeopardy of losing their jobs or privileges they may have at their institutions."

The principal argument against a close relationship between the two concepts is historically-based and derived in large measure from Ashby's analysis which acknowledges that academic freedom has thrived in bureaucratically captive institutions and been threatened in highly independent ones. Oxford and Cambridge, for example, are cited as autonomous institutions in the early nineteenth century that denied academic freedom to their faculty. By contrast non-autonomous Berlin University became known for its *Lehrfreiheit*. In the United States, Dressel notes that:

... there have been many private institutions which were autonomous, but which did not extend academic freedom to the faculty and permitted little autonomy to individuals or sub-units within the institution. ... By contrast, though state co-ordinating agencies, offices of state government, and unified system boards have increasingly compromised the autonomy of institutions in recent years, in no situation has this invasion of autonomy been also an actual limitation on academic freedom.³⁵

Those who argue the importance of the distinction between academic freedom and autonomy do so in the belief that it will help in the defence of academic freedom, the more important of the two concepts for universities in the fulfilment of their mission.

Ashby sees academic freedom as an "internationally recognised and unambiguous privilege of university teachers" which must be protected whenever and however challenged. In contrast, "the question as to what constitutes autonomy in universities is anything but unambiguous, and the patterns of autonomy which satisfy academics in different countries are more diverse"³⁶

The argument is not resolved for all, however. Conrad Russell has recently argued, notwithstanding the academic freedom amendment to the Education Bill of 1988 in the U.K., that it is only through autonomy:

... to govern their own affairs that academics may protect a world in which they are free to exercise their basic rights of freedom of speech and of thought. It is not enough to defend these by the laws of the State alone, when the State may, perhaps entirely unwittingly, take away conditions in which these rights can be exercised.³⁷

Definition of Autonomy

Autonomy is usually defined as the power of institutions to govern without outside controls.³⁸ It is also generally recognized, however, that institutional autonomy, while highly prized by those who enjoy it, can never be and, indeed, need not be absolute. The degree to which

35. el, *op. cit.*, p. 4.

36. Ashby, *op. cit.*, p. 293. Cited in Robert Berdahl, "Academic Freedom, Autonomy and Accountability in British Universities." *Studies in Higher Education*, Volume 15, Number 2 (1990), p. 172.

37. Russell, *op. cit.*, p.3.

38. See, for example, Hurtubise/Rowat, "... the relative ability of a university's governing body to run the university without any outside controls." *Op. cit.*, p. 67.

and the manner in which institutional autonomy is constrained are the subject of much discussion and debate. As Hurtubise and Rowat observed:

If the confusion between autonomy and [academic] freedom is great, the confusion between autonomy as a necessary tool for protecting academic freedom and as a convenient excuse for opposing outside control of any kind is even greater. The problem here is that universities often claim autonomy in order to protect areas that are not essential to academic freedom and should not be protected. Thus universities should not claim autonomy for areas that are of vital interest to the state and society. Though many of these areas are of great academic significance, most of them are not directly related to the exercise of academic freedom.³⁹

Although there is some support for the notion that the essential elements of institutional autonomy ought to remain ambiguous,⁴⁰ the majority of authors suggest the need for more careful definition.

I think a task that confronts the people who are rightly concerned about university autonomy is to spell out what kinds of autonomy - autonomy in relation to what things?, autonomy manifested in what ways and for what end? What kinds of autonomy are the necessary conditions of academic "excellence", and what kinds or aspects on the other hand, while pleasant to possess and perhaps desirable, are not perhaps essential conditions of university excellence.⁴¹

Similarly, Edward Hines has argued:

Higher education must protect its own interests. To do so, the academy must be aware of what its interests are in defense of its own institutional autonomy and freedom, beyond some ill-defined notion of minimizing external intrusion into internal institutional affairs. Higher education leaders must define the limits of institutional autonomy and speak out against intrusion of whatever type.⁴²

The origins of recent tradition in the definition of university autonomy are usually attributed to Justice Felix Frankfurter of the U.S. Supreme Court (*Sweezy vs. New Hampshire*, 1957), who cast university autonomy in terms of "the four essential freedoms of a university - to determine for itself on academic grounds who may teach, what may be taught, how it should be taught and who may be admitted to study."

Alternate approaches have been offered. Eric Ashby suggested university autonomy's essential ingredients to be: a) the freedom to select staff and students and to determine the

39. Ibid., p. 70.

40. See, for example, Stephen Bailey, in J.F. Hughes, *Education and the State*, Washington, 1975. Cited in *Academic Freedom, Autonomy and Accountability in British Universities*, *op. cit.*, p. 179-180.

41. David Mahony, "Autonomy and the demands of the modern state: a systemic study." *Higher Education Review*, Volume 24, Number 3 (1992), p. 10.

42. Edward R. Hines, "Higher Education and State Governments: Renewed Partnership, Cooperation of Competition?" *ASHE-ERIC Higher Education Reports*, 1988, p. 113.

conditions under which they remain in the university; b) the freedom to determine curriculum content and degree standards; and c) the freedom to allocate funds (within the amounts available) across categories of expenditures.⁴³

Hurtubise and Rowat list control over admissions, academic staff and instructional programs as the most frequently cited essential ingredients of genuine university autonomy.⁴⁴ They note, however, that the International Association of Universities included these three plus research and resource allocation in its definition of autonomy, and that the Robbins Committee used the same three but added the balance between teaching and research and something referred to as "the shape of development". In 1988, the Association of Universities and Colleges of Canada included in its definition of institutional autonomy

... the following powers and duties: to select and appoint faculty and staff; to select and admit and discipline students; to set and control curriculum; to establish organizational arrangements for the carrying out of academic work; to create programs and to direct resources to them; to certify completion of a program of study and grant degrees.⁴⁵

Although there is some consistency among these various approaches with respect to the "essential" elements of university autonomy, many authors cite significant governmental constraints attached to university autonomy in each of these areas, which the university community has come to accept as legitimate.

Nevertheless, it is generally conceded that the most significant areas of institutional autonomy are those which relate to "academic matters," government intrusion into which *might* be seen as impinging on matters of academic freedom.⁴⁶ Hence, the strongest argument advanced for university autonomy is that it serves to buttress academic freedom. Beyond this, however, there is little substantive justification in the literature provided for university autonomy.

The traditional argument for it is probably what Harry Arthurs identifies as the platonic ideal of the university and the notion that government intrusion must be counter-productive to the attainment of this ideal. Arthurs concludes, however, that government intervention cannot be denounced "for the sole reason that it stems from mixed motives or is intended to produce results which do not reinforce the platonic ideal of the university."⁴⁷

43. Ashby, *op. cit.*, p. 296. Cited in Academic Freedom, Accountability and Autonomy in British Universities, *op. cit.*, p. 172.

44. Hurtubise and Rowat, *op. cit.*, p. 62.

45. Association of Universities and Colleges of Canada, *Statement on Academic Freedom and Institutional Autonomy*, Ottawa, 1988, p. 3.

46. This can be carried to extremes. Conrad Russell argues, for example, that while governments might legitimately determine how much is to be spent on universities, universities "... may say, when given the sum, how many graduates that sum will buy." (Russell, *op. cit.*, p. 86.) Russell takes this view as logically following from the principle that teaching methods, student-staff ratios, and the balance between teaching and research are matters of academic judgement.

47. Harry Arthurs, "The Question of Legitimacy," in Higher Education Group, Ontario Institute for Studies in Education *Governments and Higher Education: The Legitimacy of Intervention*, O.I.S.E., Toronto, 1987, p. 12.

Hurtubise and Rowat note the ideological foundation of autonomy as reflecting:

...both the sectarian tradition of universities, which feel they have almost sacred missions, and laissez-faire liberalism, which considers "the state" an enemy. The sanctity absolves the absence of rational justification, while the liberal ideology provides a convenient weapon against the hand that feeds.⁴⁸

In a rather similar vein, Arthurs attributes "the extremity of [universities'] reaction to government intervention" to "an historically-informed defensive reaction against the terrible extremities of government intervention which others have suffered, and we have largely escaped;" to the universities' "human enough reluctance to change [their] ways, even when [they] know [they] ought to accept the implications of fair criticism or the burdens of new responsibilities"; and to their "acute embarrassment at having actively sought and gratefully accepted government intervention so often that [they] can no longer find any rational grounds for resisting it."⁴⁹

Frank Newman identifies three types of government intrusion he regards as illegitimate. These encompass bureaucratic ("the accumulated weight of unnecessary or counterproductive regulations"), political ("the exercise of raw political power for self-interest"), and ideological ("the attempt to impede university activity on ideological grounds") intrusion.⁵⁰ Newman argues that institutional autonomy acts as a bulwark against such intrusion. The examples he cites, however, particularly with respect to political and ideological intrusion, he acknowledges to be rare today.

Another argument put forward for autonomy is that "... independence gives rise to diversity." Dressel acknowledges, however, that while this might once have been the case, when religious pluralism and geographical isolation might have tended to support diversity,

... developments of the past decade or two have all tended to create a high degree of uniformity in curriculum, personnel practices, research, and services. The most obvious aspect of the maintenance of diversity, in many cases, appears when some institutions are bluntly told that they cannot expect to become "complete" universities. The restraints applied do limit autonomy, but they are justifiable.⁵¹

A further argument sometimes advanced for university autonomy (and against the view of universities as instruments of public policy) is that autonomy protects the university's role as social critic. Those who advance this argument seem to be confusing institutional autonomy with academic freedom. While many would acknowledge social criticism as an element of the role of the academic, it is a far more contentious view to argue social criticism as an element of institutional purpose. Indeed, quite the contrary, it is held by many that this is not an institutional role and that institutions which pursue such a course place academic freedom in peril.

The final argument advanced in favour of university autonomy derives more from general organizational theory than from the uniqueness of the university.

48. Hurtubise and Rowat, *op. cit.*, pp. 61-62.

49. Arthurs, *op. cit.*, p. 7.

50. Frank Newman, *Choosing Quality: Reducing Conflict between the State and the University.*, Education Commission of the States, Denver, 1987, p. 2.

51. Dressel, *op. cit.*, pp. 85-86.

Organizational theorists have long reflected on the strengths and weaknesses of centralized and decentralized structures but generally agree that a decentralized organization is more flexible, more efficient, and more appropriate to professionals than a highly centralized and bureaucratic organization.⁵²

Significant amounts of government intrusion into the affairs of universities are generally seen to be detrimental to institutional morale and "... it is widely recognized that institutional morale is essential to satisfactory performance.... [I]n the university, institutional morale can exist only if the institution has a large measure of self-direction, self-determination, and self-criticism."⁵³

The kind of government intrusion that most often comes under criticism from this perspective is that which might be termed bureaucratic control. Some states, New York the most notable among them, impose significant bureaucratic controls on their universities. A major area of concern is about fiscal controls and pleas by institutions for additional flexibility in management are often focused here. James Mingle cites five specific areas:

... where flexibility is needed: institutional authority to carry funds forward from one year to the next, to expend excess income, and to invest funds; authority to procure, contract for and dispose of property, and to determine personnel policy; authority to reallocate funds among categories of appropriation during the budget year; authority to review and set policy in sensitive areas like purchasing equipment and funding travel; and authority to monitor and hire through position control.⁵⁴

The type and degree of bureaucratic control which is cited here as intruding into institutional autonomy, thereby constraining management flexibility, is not typical of Ontario. If the maintenance of management flexibility is to be accepted, however, as one of the two substantive arguments in favour of institutional autonomy (the other being the defence of academic freedom), then it is useful to pursue the distinction which Berdahl draws between substantive autonomy and procedural autonomy.⁵⁵ Management flexibility derives largely from procedural autonomy.

Substantive autonomy is the power of the university or college in its corporate form to determine its own goals and programmes - if you will, the what of academe. Procedural autonomy is the power of the university or college in its corporate form to determine the means by which its goals and programmes will be pursued - the how of academe.⁵⁶

52. Jerry N. Boone, Sue Peterson, Daniel J. Poje and Mel Scarlett. "University Autonomy: Perceived and Preferred Location of Authority." *The Review of Higher Education*, Volume 14, Number 2 (1991), p. 136.

53. Dressel, *op. cit.*, p18.

54. James R. Mingle, ed., *Management Flexibility and State Regulation in Higher Education*, Southern Regional Education Board, Atlanta, Georgia, 1983. Cited in Hines, *op. cit.* p. 41.

55. This is similar to the distinction drawn between policy autonomy and administrative autonomy in *University Funding Mechanisms: An International Comparison*, Ontario Council on University Affairs, Toronto, 1994.

56. Academic Freedom, Autonomy and Accountability in British Universities, *op. cit.*, p. 172. Dressel attempts to draw from legal definition to explain the distinction being advanced by Berdahl. "Substantive rights are those which are primary, sanctioned, or antecedent, such as life, liberty, property, and reputation. They exist for their own sake and constitute part of the legal order of society. They are to be contrasted with remedial, procedural,

Hurtubise and Rowat offer their own split definition of autonomy:

We therefore suggest that the areas claimed for autonomous decision making by universities should be divided into two categories. One covers those areas that are essential to academic freedom, and the other covers those areas that prudentially should belong to universities.... The first may be called areas of "essential autonomy" while for the second we have devised the term "prudential autonomy".⁵⁷

Berdahl concludes this discussion by arguing for a different approach to substantive and procedural autonomy.

First, ... governments in general ought to stay out of any issues which threaten to lessen the vital academic freedom of persons undertaking teaching and research at universities and colleges. Secondly, ... governmental procedural controls are probably counter-productive and certainly irritating, but do not justify the same shrill note of academic outrage which might be voiced at threats of academic freedom. Finally, in the crucial domain of substantive autonomy, the state and the universities must somehow form a constructive partnership in which, while force majeure obviously lies with the state, there are sensitive mechanisms for bringing together state concerns with accountability and academic concerns with autonomy.⁵⁸

It is generally agreed that the boundaries of university autonomy will be defined by the extent of the benefits which society at large believes it derives from any particular placement of those boundaries. It is also generally conceded that this will be a contentious matter.

The ultimate justification for autonomy is that society benefits from the extension of autonomy to the university, but judgments as to the exercise of autonomy vary because of underlying values involving differences in interpretation, priorities, and decision making. Thus the department with few minority faculty members may argue that demonstrated research productivity is its primary concern and that few members of minority groups met the specifications when that criterion was applied. Looking at the same evidence, others may argue that covert prejudice prevented fair and sound judgments, and still others may argue that, at the present time, proportional representation of all segments of society by race, religion, and sex is more important than having the most outstanding scholars in a particular discipline. Thus the ultimate justification for institutional autonomy - namely, that society benefits by extending autonomy to institutions of higher education - becomes difficult to apply because various segments of society differ markedly in their conception of what constitutes a benefit and also in their

restitutive, and secondary rights, which are invoked to protect substantive rights or to correct violations of those rights. The extension of substantive autonomy to an individual, or group, implies responsibility and accountability. The use and the results of autonomy are subject to review, and those who misuse it are answerable to those who extend it." Dressel, *op. cit.*, p. 5.

57. Hurtubise and Rowat, *op. cit.*, p. 75.

58. Academic Freedom, Autonomy and Accountability in British Universities, *op. cit.*, p. 173.

judgment as to whether the actions and decisions of the university do indeed extend those benefits.⁵⁹

However the boundaries are drawn, it is clear that society expects the application of autonomy to be responsible. As Davis noted some 30 years ago, autonomy is:

... a condition that is to be desired only if universities themselves are able and willing to assume the high degree of responsibility that goes with it. Such responsibility, I would suggest, goes beyond fiscal accountability. It goes beyond the practice of effective economy. It involves a recognition of the total needs of society, a realization of the manner in which universities can serve those needs and an understanding of the action necessary to see that they are carried out. It demands that, while academic ideals should never be forgotten, we must, when necessary, settle for something less than the ideal. Indeed, real sacrifices may be needed from time to time. Such responsibility involves an awareness that the ambitions and desires of a given institution may have to be tempered by the over-all requirements of society. It demands greater co-operation and co-ordination among universities than we have ever known before.⁶⁰

The justifiable exercise of autonomy requires its "... responsible and ethical performance" together with "a service commitment to society". It also demands the existence of "... a procedure for recurrent or regular review to ascertain whether the autonomy accorded has been responsibly, legally, and appropriately used...." ⁶¹ This is often termed "accountability."

Pressures for Enhanced Government Intrusion

Members of the university community (in North America in particular) have long observed an inexorable trend toward increased government intrusion into the affairs of publicly-funded universities and hence a slow and continuing erosion of university autonomy.

It is generally agreed that much of this evolution towards increased government intrusion was (and in some cases remains) attributable to what Martin Trow characterized as the evolution of higher education systems from an "elite" state (participation rates of less than 15%) through the stages of massification and ultimately, universalization (participation rates in excess of 50%).⁶²

Trow argued that higher education systems, at various stages along this evolutionary path, differ (or ought to differ) not only quantitatively but qualitatively:

They differ obviously in the proportions of the age grade that they enrol, but also in the ways in which students and teachers view attendance in university or college; in the functions of gaining entry for the student; in the functions of the system for society; in the curriculum; in the typical student's career; in the degree of student homogeneity; in the character of academic standards; in the size of institutions; in the forms of instruction; in the

59. Dressel, *op. cit.*, p. 92.

60. Davis, *op. cit.*, p. 32.

61. Dressel, *op. cit.*, p. 12.

62. Martin Trow, "Problems in the Transition from Elite to Mass Higher Education," in *Policies for Higher Education*, Organisation for Economic Co-operation and Development, Paris, 1974, p. 63.

relationships between students and faculty; in the nature of institutional boundaries; in the patterns of institutional administration and governance; and in the principles and procedures for selecting both students and staff. In other words the differences between these phases are quite fundamental and pervade every aspect of higher education.⁶³

Numerous commentators, Glenny and Berdahl prominent among them, have argued the need for differentiated systems of higher education as a key strategy in adapting to massification, keeping costs within an acceptable framework, and most have argued, as well, for co-ordination and planning of higher education at the state level as a means of achieving this end. The argument continues to be made today. For example, Bernard and Harold Shapiro have recently written:

Whatever the self-serving rhetoric to the contrary, mass higher education systems can only exist where there is differentiation not only between different types of institutions ... but also among different institutions all of which have the same generic name.... Among other things, such differentiation is economically efficient. Differentiation must, therefore, not only be legitimized, it must also be espoused as a matter of deliberate public policy.⁶⁴

There was also growing concern (in the late 1960s and early 1970s) about program duplication, and the term "rationalization" came to be applied to the differentiation of the roles of higher education institutions and the cost-effective distribution of academic programs among them.

Similarly, within a group of publicly supported institutions in a state, institutional autonomy is often used by institutional boards, administration, and faculty to advance personal or institutional status; it is not recognized that unbridled aspirations and competition ultimately waste resources and provide the state as a whole with a less satisfactory educational program than if some co-ordination and controls were used.⁶⁵

These concerns continue today and are exacerbated by current financial circumstances. As Newman has observed "... the most frequent irritant undermining the state/university relationship [in the United States] is the difficulty of achieving an appropriate division of missions among the institutions of higher education."⁶⁶ He attributes this difficulty over mission to what he terms "the single pyramid of institutional prestige"⁶⁷ and goes on to observe:

Unless missions can be differentiated and multiple pyramids of prestige created, the natural ambitions of the campus cannot become a means for channelling campus entrepreneurship into useful purposes. Instead the result

63. *Ibid.*, pp. 61-62.

64. Bernard J. Shapiro and Harold T. Shapiro, *Higher Education: Some Problems and Challenges in a Changing World*, Council of Ontario Universities, Toronto, 1994, p. 11.

65. Dressel, *op. cit.*, p. 85.

66. Newman, *op. cit.*, p. 43.

67. *Ibid.*, p. 45.

is often that the entrepreneurial drive essential for institutional quality is often diverted into competition among the institutions for prestige and resources.⁶⁸

Others have noted that massification also led to an increase in size of individual universities, in the number of universities, and consequently in the total dollars required for their support. The range of functions and activities increased notably in the areas of research and community service. Hence, public higher education moved from a relatively modest role in society to that of being a major instrument of social and economic change. Universities not only became a significant state investment relatively speaking, they were increasingly recognized as an important instrument for economic development.

As well, the increasing role of the state in the co-ordination of higher education was seen as part of a more general development in the 1960s and 1970s which saw the state play a larger role in all aspects of public life. There was a growth of state involvement in a wide range of activities. Most states were modernizing and centralizing their budget processes and this contributed to the growing ability of the state to intrude.

The state's interest in university activity was re-inforced in the 1980s by a general concern about the quality of the educational experience and the importance of enhancing that experience to a state's (or nation's) global competitiveness. Considerable attention also became focused on the political imperative for governments to represent the views and interests of the disenfranchised.

Proponents of regulation saw higher education as an area where the disenfranchised needed redress in employment, remuneration and opportunity. Opponents viewed regulation as excessive and intrusive and higher education victimized by external requirements.⁶⁹

Finally, the financial circumstances of the early 1990s focused attention on the need for enhanced accountability from publicly-supported institutions not only with respect to their financial activities but, more significantly, with respect to the perceived and actual outcomes to be derived from the large public investment in them.

The lack of data for accountability purposes, the frequent unwillingness to provide such data, and numerous examples of manipulation of data also took their toll. Cases in which universities misused federal or state funds suggested to some people that the basic operating assumption of educators and educational institutions was that the ends justified the means.⁷⁰

Throughout these three decades, there has been a general perception within government of the university's unwillingness to change. Davis' remarks of 30 years ago to this effect would still resonate with governments today.

...I think there is justification in asking whether universities have shown sufficient imagination and innovation in meeting the challenge of offering quality education to ever increasing numbers of students within the bounds of reasonable costs. Have the institutions whose very life blood is research examined their own teaching methods carefully enough in the face of greatly

68. *Ibid.*, p. 45.

69. Hines, *op. cit.*, pp. 36-37.

70. Dressel, *op. cit.*, p. 26.

enlarged enrolments? Have they given sufficient attention to some of the new techniques and devices of teaching as means of obtaining improved educational results? Have these institutions been flexible enough in adjusting old concepts of what was thought proper for higher education to this strikingly new situation in which we find ourselves?⁷¹

Acceptable Limits to Autonomy

It is generally conceded that there must be limits to university autonomy to ensure that the interests of universities and the broader community are co-ordinated. Examining an extensive literature on university-government relations, John Millett concluded that all the studies and reports he had examined:

... agreed on at least one proposition. They uniformly declared that some kind of co-ordination of the state government system of higher education is desirable. And as a corollary of that proposition, the studies and reports agreed that institutional autonomy is not and cannot be absolute.... The problem for state governments in the past forty years has remained constant: How to reconcile the public stake in higher education with the campus or institutional interest in freedom of action.⁷²

Beyond the co-ordination of public and university interests, state intervention is often judged essential in ensuring that universities change in response to changing public needs. "External forces, often represented by the state or federal government, have been the catalyst for many, if not most, of the major changes that have occurred in American higher education."⁷³

As has already been noted, the process of co-ordination of public and university interests is often characterized as a state of dynamic tension. "It is clear ... that autonomy is not a passive given, but rather a dialectic between institution and its constituencies, a dynamic characteristic requiring negotiation, breadth of vision and sometimes vigorous defence."⁷⁴ While it is generally acknowledged that a significant degree of university independence is essential,

... a constructive relationship recognizes the need for a system of checks and balances. Left totally to its own, the university will evolve toward self-interest rather than public interest. The state must, therefore, act as a constructive force. On the other hand, the state should leave the university the discretion to meet the state's overall goals by means developed on campus. The governance system must therefore encourage accountability as well as needed change while preserving the essential traditional values.⁷⁵

The issue thus becomes which intrusions into autonomy are justifiable and which are not? Unfortunately, the answer is often very much in the eye of the beholder.

71. Davis, *op. cit.*, p. 36.

72. John D. Millett, *Conflict in Higher Education: State Government Coordination Versus Institutional Independence*, Jossey-Bass, San Francisco, 1984, p. 215.

73. Newman, *op. cit.*, p. 8.

74. Mahony, *op. cit.*, p. 16.

75. Newman, *op. cit.*, p. 8.

To a great extent, the bases for a particular decision and the acceptability of that decision to a co-ordinating or controlling board and to the individual institutions determine the impact on autonomy. Yet there are differences among the institutions on historical and other grounds, and as a result, what seems to be an intrusion in one case may be regarded as a benefit in another.⁷⁶

Just as the literature has engaged in discussion of the essential elements of institutional autonomy, so too has it devoted some time to the proper role of the state in the co-ordination of higher education. Within this context, it is generally conceded that the most important role of the state is the determination of the level of public support for higher education generally and for the equitable distribution of such support among a given jurisdiction's university institutions. This implies state responsibility for the effective and efficient use of public resources.

Another purpose of co-ordination is to develop funding equity across institutions and to bring about an equitable relationship between expenditures and educational needs and quality.... Another motive for state intervention and control is the conservation of funds once they have been allocated.⁷⁷

An equally significant responsibility assigned to the state is that of ensuring the diversity and complementarity of institutional missions and the appropriateness of institutional missions collectively to the achievement of public policy objectives. The state is often also assigned responsibility for the assurance of program quality and co-ordination (which implies the existence of a mechanism for program approval and review).

Over time, institutions tend to become more like one another.... Thus it is that one of the responsibilities of state co-ordinating and control boards is to maintain diversity. This aim requires that unnecessary duplication in programs and competition among institutions serving the same clientele be eliminated.⁷⁸

Flowing from this responsibility for co-ordination of institutional missions, the state role is clearly seen to encompass a planning function (including determination of the number, location, size and program scope of institutions).

For example, the Independent Study Group commissioned by the Canadian Association of University Teachers to examine issues of university governance and accountability attributes to the state "... ultimate responsibility for major decisions concerning the university system ... when these decisions are both expensive and may change the orientation of the system." Among such decisions they include:

... the opening or closing of universities, expanding or contracting the number of professional faculties such as medicine or engineering, pooling resources

76. Dressel, *op. cit.*, p. 35.

77. *Ibid.*, p. 38.

78. *Ibid.*, p. 37.

in an expensive area with other provinces, or altering the regime of student fees and student aid.⁷⁹

And finally, the state is generally assigned responsibility for defining and assuring the extent and nature of access to the services provided by its universities. This is seen to include the articulation between universities and secondary and vocational education.

Accountability

It has long been argued that institutions in receipt of public funding must be accountable for their actions. As originally conceived, however, accountability was about transparency, narrowly defined - the provision of information, usually of a financial nature, to demonstrate that public funds had been spent for the purposes for which they had been allocated. A broader definition of accountability began to gain currency in the 1970s and by the early 1980s, Dressel was able to assert that "... in recent years ... there has been a tendency to move beyond the post-audit into what might be called program audit or program evaluation."⁸⁰ In Canada, the same period saw the development of "comprehensive auditing" encompassing the concept of "value for money" (economy, efficiency, and effectiveness).⁸¹

Within this context, Edward Monahan was able to argue that while accountability encompassed program evaluation, it extended beyond the assessment of program quality to include the measurement of performance against stated objectives and the determination of "... whether the same results might have been achieved by the expenditure of fewer resources."⁸²

As traditionally understood and practised, evaluation has been exclusively concerned with outcomes (effectiveness, quality). As it is understood today, accountability adds a substantial new component - efficiency, the relationship between outcomes and resource utilization.⁸³

More broadly, Monahan argued that accountability implies "... that universities are responsible for conducting their affairs so that the outcomes are worth the cost...." and that "... institutions should provide credible evidence on the degree to which they are achieving their mission...."⁸⁴

Today, accountability can more broadly be taken to have been extended from the provision of information about inputs to the provision of explanation about outputs. In Millett's words: "Accountability refers to an institution's responsibility for producing results."⁸⁵

79. Independent Study Group on University Governance, *Governance and Accountability*, Canadian Association of University Teachers, Ottawa, 1993, p. 54.

80. *Ibid.* p. 43.

81. See *Comprehensive Auditing - Concepts, Components and Characteristics*, Canadian Comprehensive Auditing Foundation, Ottawa, 1983.

82. Edward J. Monahan, "Some Current Issues of Accountability," in Cicely Watson, editor, *The Professariate: Occupation in Crisis*, Ontario Institute for Studies in Education, Toronto, 1985, p. 46.

83. *Ibid.*, p. 46.

84. *Ibid.*, p. 44.

85. Millett, *op. cit.*, p. 222.

Autonomy and accountability have long been argued to be complementary concepts.

Accountability, the requirement to provide evidence that autonomy is responsibly used, is the price of autonomy. Considering that responsible performance always requires some kind of critical review and evaluation, the price is reasonable. Institutions that refuse to pay it and thereby attest to irresponsibility do not deserve autonomy. Autonomy does not include the freedom to be irresponsible and unaccountable.⁸⁶

To the extent that they are complementary concepts, there may be some argument for the view that the scope and nature of the one is dependent on the scope and nature of the other. The argument would be that the higher the level of autonomy afforded, the higher the degree of accountability required. And because autonomy varies in its application to different areas of the university, one might imagine different extents of and formats for accountability in different areas of the university. Within this context, Hines imagines accountability

... as having multiple facets occurring in different policy domains: systemic accountability dealing with the fundamental purposes of higher education, substantive accountability pertaining to values and norms, programmatic accountability dealing with administrative and institutional procedures, and fiduciary accountability pertaining to finance.⁸⁷

Although it is generally recognized that accountability and autonomy are complementary concepts, there is considerable ambiguity about accountability's intrusiveness. At one extreme, James Cutt and Rodney Dobell argue: "Governments can employ two sets of instruments for controlling universities. The first set is directed at limiting the decision-making autonomy of universities and the second attempts to increase university accountability."⁸⁸

Harry Arthurs places increasing interest in accountability in the context of recent political theory in which governments are encouraged to "steer, not row." He argues that: "Accountability thus becomes the logical extension of "steering", the governance strategy of choice in an era when the interventionist state is regarded as neither affordable nor desirable."⁸⁹

Although Dressel sees accountability as an intrusion, albeit necessary, into the substantive autonomy of an institution,⁹⁰ Berdahl is more doubtful:

Taken most simply, autonomy in its complete sense means that power to govern without outside controls and accountability means the requirement to demonstrate responsible actions to some external constituenc(y)ies. In theory, the argument has been made that there is no necessary incompatibility between being both highly autonomous and rigorously accountable; in practice, one senses that usually where more accountability

86. Dressel, *op. cit.*, p. 94.

87. Hines, *op. cit.*, p. 37.

88. James Cutt and Rodney Dobell, *Public Purse, Public Purpose: Autonomy and Accountability in the Groves of Academe*, The Institute for Research on Public Policy, Halifax, 1992, p. 13.

89. H.W. Arthurs, "How Do I Love Thee?": *A Short Essay on University Accountability*, Remarks to the Queen's University Council, May 1994, p. 4.

90. Dressel, *op. cit.*, p. 43.

is required, less autonomy remains. The ideal to be sought seems clearly a balance of both conditions. Too much autonomy might lead to universities unresponsive to society; too much accountability might destroy the necessary academic ethos.⁹¹

Russell argues that there must be limits to accountability - that accountability "...must not extend to the point where it interferes with the proper discharge of the service for which money was granted."⁹² Yet he acknowledges that the "...conflict between freedom and accountability is usually a clash between right and right."⁹³

Russell's principal concern with accountability is one of form rather than substance.

There is sense ... in arguing that decisions ought to be taken on the level where the expertise necessary to take them is most likely to be present. There is corresponding sense in arguing that accounts ought to be audited on the level on which decisions are actually taken.⁹⁴

Russell argues further that placing accountability at the level at which decisions are actually made is the only way "... that those who actually take the decisions can be appropriately held accountable for the decisions they take."⁹⁵ For William Sibley, this makes the practice of accountability in the university context highly problematic.

Talk about accountability is only meaningful where there is a structure of offices, characterized by specific duties or obligations. It also presupposes adequate authority and power on the part of the office-holder to discharge the obligations in question. If any of these conditions is missing, one cannot justifiably raise an accusation of failure of accountability.⁹⁶

An alternative conclusion to Sibley's could be reached, however - that university accountability must be enhanced in a manner consistent with the nature of the university as an institution. In this view, the university is not excused from being highly accountable. Rather, it is challenged to respond adaptively to the broader public interest in the increased accountability of publicly-funded institutions.⁹⁷ This would be consistent with the emerging view that the least

91. Academic Freedom, Autonomy, and Accountability in British Universities, *op. cit.*, p. 171.

92. Russell, *op. cit.*, p. 11.

93. *Ibid.*, p. 12.

94. *Ibid.* p. 49.

95. *Ibid.*, p. 49.

96. William M. Sibley, "The Twilight of Autonomy: A Commentary on 'Sustaining Quality in Changing Times'", in *Submission to the Ontario Council on University Affairs from the Council of Ontario Universities: Supplementary Volume I*, Toronto, 1994, p. 118.

97. The notion that university accountability is a matter of public interest is challenged by Peter George and James McAllister in their paper, *The Expanding Role of the State in Canadian Universities: Can University Autonomy and Accountability be Reconciled?*, Council of Ontario Universities, Toronto, 1994. In reviewing recent events in Ontario, they note: "In most cases, none of this has very much to do with the wishes of the public at large. For the most part, these conflicts represent the activities of elite groups. When politicians or

intrusive (and most appropriate) form of accountability is that which is developed internally rather than imposed from outside.

Russell, among others, argues for a university-specific perspective on accountability and against government imposing accountability through the vehicle of some central audit authority. He goes on to say: "The need to ensure that ... decisions are not made improperly, which auditors can perfectly do well, is not the same thing as an attempt to ensure that they are made well, which an auditor is not competent to do."⁹⁸

Dressel, too, argues for this perspective:

If the university and its units demonstrate ... that goals and objectives have been specified and accomplished and that the processes used to attain them were developed rationally and evaluated critically, and if this evidence of responsibility and accountability is made available to external auditors, then [external] accountability reviews need go no further than determination of legality in allocation of resources and review of the materials already available on the rationale for procedures and their actual effectiveness.⁹⁹

The principle of monitored self-regulation as an underpinning of university accountability was also advanced in Ontario by the Task Force on University Accountability.¹⁰⁰ One of the inherent weaknesses in monitored self-regulation, however, was quickly identified in its implicit institutional focus. As Michael Skolnik has noted:

One of the major weaknesses of the TFUA approach is that it is atomistic: it looks at each institution only in isolation, not as a component of a system. To be sure, one of the major determinants of how well the university system "meets the public's needs" is the individual performance of each institution. However, another major factor is the structure of the whole system; that is, how each institution's mission, role, and activities mesh with those of other institutions, whether there is duplication of effort and resources, and whether there is coordination of complementary activities among institutions.¹⁰¹

The Reconciliation of University and Government Interests

As has been noted above, the state has a significant interest in the activities of the universities it supports and a vital concern about the extent to which its investment in those institutions advances the economic, social and cultural well-being of its people. Within this context, it has a responsibility to the broader community to ensure that universities do and are seen to serve the public interest and that they do and are seen to do so at a reasonable cost consistent

bureaucrats speak of accountability, they are almost always talking about universities being accountable to the political elite." (p. 13.)

98. *Ibid.*, p. 50.

99. Dressel, *op. cit.*, p. 96.

100. Task Force on University Accountability, *University Accountability: A Strengthened Framework*, Toronto, 1993.

101. Michael Skolnik, *University Accountability in Ontario in the Nineties: Is there a Role for a Provincial Agency?*, unpublished draft, Higher Education Group, Ontario Institute for Studies in Education, Toronto, February, 1994, p. 19.

with the task. It is generally conceded that universities will regard government's efforts in this regard as intrusive.

It can just as easily be said that most states acknowledge that, in the interests of encouraging and sustaining their intellectual vitality, universities must be recognized as "... distinctive social institutions which deserve special treatment regarding their academic freedom and procedural autonomy...." ¹⁰² The evidence for this acknowledgement flows from a recognition that the state, notwithstanding its considerable capacity for intervention, has, by and large, sought to find a balance between its needs and those of the university with respect to academic freedom and institutional autonomy.

The effective reconciliation of university and government interests must, in the first instance, be based on the recognition by each party that the interests of the other are legitimate.

A major implication of the view expressed here is that a state's willingness to recognize the claims of academic freedom and procedural autonomy may be reinforced by the institutions' equal willingness to recognize the state's right to participate in some of the decisions regarding the substantive development of public higher education. ¹⁰³

Hence, the best interests of both universities and governments will flow from their taking a shared responsibility for higher education policy and its implementation. Universities do not always acknowledge this and are sometimes disposed to approach governments with adversarial aggressiveness. As a result, the impression is sometimes created that universities, as a group, are indifferent to the broader agenda of legitimate university-government concerns. But as one commentator observes: "Warfare is too costly." ¹⁰⁴ The options are clear.

There can be either an upward spiral in which there is gradual development of trust on the part of both parties in each other and in which the quality of the university improves, or there can be a downward spiral of less trust and gradual deterioration in the relationship and ultimately in university quality. ¹⁰⁵

It has been observed that Harold Enarson noted some years ago that:

The growth of . . . co-operation [between higher education and government] will be dependent on two things: first, the "climate of opinion" . . . ; second, the availability of practical machinery to encourage co-operation. [It] rarely "just happens." The climate of opinion . . . may change faster than we think, largely because of the availability of practical machinery. ¹⁰⁶

102. Academic Freedom, Autonomy, and Accountability in British Universities, *op. cit.*, p. 170.

103. Statewide Coordination, *op. cit.*, p. 12.

104. Robert Berdahl, "Coordinating and Governing Boards: Complementary or Conflicting Roles," *Vestex*, Volume 23, Number 2 (1980), p. 13. Cited in Hines, *op. cit.*, p. 4.

105. Newman, *op. cit.*, p. 8.

106. Harold Enarson, "Cooperative Planning to Meet the Needs of Increased Enrolment", in *Current Issues in Higher Education*, Association for Higher Education, Washington, 1956. Cited in Statewide Coordination, *op. cit.*, pp. 15-16.

Most observers share Enarson's view that some on-going process is needed by which university and governmental perspectives may be reconciled. Berdahl identifies three approaches to this issue: "... some form of bottom-up voluntary co-operation; some variation of top-down consolidated governance; or some intermediate form of statutory co-ordination which goes beyond co-operation but stops short of consolidated governance."¹⁰⁷

It is generally argued that bottom-up voluntary co-operation fails because of the unwillingness of member institutions to concede any authority to the collectivity or to impose sanctions for divergent behaviour.¹⁰⁸ No examples of effective voluntary co-operation (beyond limited-purpose consortia) are identified in the literature. By contrast, many examples exist in the United States of the effective co-ordination of higher education through consolidated governing boards. If reservations exist about this model, they reside in the potential for intrusion the model affords to governments and the numerous extant examples that demonstrate how such intrusion, particularly of the procedural kind, can be effected.

Although the statewide co-ordination of higher education in the United States finds its roots in the early part of this century, its widespread use, particularly in the form of the statewide co-ordinating agency, arose out of the massive expansion of college and university enrolment that characterized the late 1960s and early 1970s. By 1972, 47 states had instituted either consolidated governing boards or statewide co-ordinating agencies.¹⁰⁹

While the incidence of state higher education agencies in the United States is split equally between the consolidated governing board model and the state co-ordinating agency model, it is the latter which, in the literature, finds most favour. It, alone, is judged to have the capacity "... to protect, and on occasion, even to enhance...." institutional autonomy.¹¹⁰

Notwithstanding the widely-held view that the particular shape of statewide co-ordination is moulded by a variety of social, economic and political factors which are unique to the historical development of each state, and that the particular responsibilities assigned to the state co-ordinating body should respond to current issues in each state, such bodies do share

107. Academic Freedom, Autonomy, and Accountability in British Universities, *op. cit.*, p. 173. Co-ordinating boards are often sub-divided in the literature into those with executive and those with advisory powers. Advisory boards (like OCUA) are the least common in the United States, with only four such boards thought to be in existence today.

108. See, for example, Committee on the Future Role of Universities in Ontario, *The Challenge of the '80s*, Toronto, 1981, p. 42. Referring to the Council of Ontario Universities, it concluded that: "It cannot easily adopt policies that are judged contrary to the interests of any of its members; and if it does adopt such policies, it cannot enforce them." Cited in *More than an Academic Question: Universities, Government and Public Policy in Canada*, by David Cameron, Institute for Research on Public Policy, Halifax, 1991, p. 247.

109. Aims C. McGuinness, *op. cit.*, p. 7. Although most Canadian provinces have had co-ordinating bodies with at least advisory powers, few have had the executive powers afforded to most of their American counterparts. Only four such agencies exist in Canada today - the Manitoba University Grants Commission, the Maritime Provinces Higher Education Commission, the Nova Scotia Council on Higher Education and the Ontario Council on University Affairs. O.C.U.A. is an advisory body. It was established by Order-in-Council in 1974 without specific terms of reference or executive powers. By its own assessment, it "acts as an intermediary body between the autonomous universities and the provincial government in planning and enabling system-wide development; recommends on the funding of the universities and the allocation of operating funds between institutions and among the funding envelopes; recommends on the funding of university academic programs by providing advice on which undergraduate professional, quasi-professional, special and graduate programs should be approved for public funding; respond to issues referred by the Minister on such general or institutionally specific matters as the Minister might from time to time request; serves as an agency for public discussion on university matters by bringing policy issues to the attention of the government, the public and the universities." *Report on OCUA's Self-Study*, Toronto, 1994, p. 2.

110. Millett, *op. cit.* p. 233.

common duties. These are generally believed to include planning, budgeting, program review and policy analysis.

In his first major work in this area, Lyman Glenny, in 1959, saw the principal objectives of the co-ordination process to be the prevention of the high costs that might arise from unnecessary duplication of the major functions of the institutions and the improvement of quality by providing focus for certain specialized activities.¹¹¹ These objectives he expanded, in a 1971 work, to include:

- the promotion of diversity in educational programs and types of institutions
- the encouragement of educational innovation
- the stimulation of improvement of undergraduate education
- assurance of the ease of student transfer between institutions and programs
- the encouragement of lifelong education
- the establishment or discontinuation of graduate and professional programs in response to market needs
- the encouragement of the optimal use of new instructional technology
- the determination of procedures for terminating unproductive, obsolete, or duplicative programs
- the formulation of recommendations with respect to the appropriate division of financial contributions between the student and the state.¹¹²

Although there are some common approaches to the construction of state co-ordinating bodies, it is generally accepted that finding the appropriate balance between state and university interests is one for local determination.¹¹³ Berdahl argues that autonomy "... is a parochial and relative concept..." requiring "representatives of higher education and government officials [to] come together to discuss their respective roles in substantive decision making."¹¹⁴ "This qualification [that it is parochial and relative] in no way detracts from the importance of autonomy as an essential aspect of university life; it merely emphasizes the urgency of keeping its definition relevant to changing conditions."¹¹⁵

In pursuing this discussion, however, Newman cautions the parties to remember the different roles that each must play.

111. Lyman Glenny, *Autonomy of Public Colleges*, McGraw-Hill, New York, 1959, p. 88.

112. Lyman Glenny and others, *Coordinating Higher Education for the '70s*, Center for Research and Development in Higher Education, University of California, Berkeley, 1971, p. 27. Cited in T. R. McConnell and K.P. Mortimer, *Sharing Authority Effectively*, Jossey-Bass, San Francisco, 1978, p. 218.

113. Burton Clark advocates adding additional elements (bureaucratic and market) to the question of appropriate balance. "The special function of political co-ordination is to articulate a variety of public interests ... as these are defined by prevailing public groups within and outside of government. The special function of bureaucratic co-ordination is to compose a formal system out of fragmented parts and to provide fair administration. The function of academic oligarchy is to protect professional self rule, to lodge the control of academic work, including its standards, in the hands of those permanently involved and most intimately connected with it. And the special function of the market is to enhance and protect personal choice, for personnel, clientele, and institutions and thereby indirectly promote system flexibility and adaptability." Burton Clark, "The Many Pathways of Academic Coordination," *Higher Education*, Volume 8 (1979), pp. 265-266. Cited in *Academic Freedom, Autonomy and Accountability in British Universities*, *op. cit.*, p.174.

114. *Statewide Coordination*, *op. cit.*, p. 14.

115. *Ibid.*, p. 9.

It is common to think of the relationship between the state and the university in terms of a single spectrum with university autonomy at one end and state control or accountability at the other end. In this model the primary policy decision deals with how far toward either end of the spectrum the actual relationship should be placed. We found this model not only inaccurate but misleading. Rather, one should realize that the university and the state have different roles. A critical question of public policy is how do the university and the state work together so that the appropriate role of each is enhanced?¹¹⁶

For his part, Hines cautions against assuming that "... structural change will establish the mechanism for change in other areas...." In support of his position, he cites a remark attributed to Berdahl: "There's a temptation to tinker with the structure instead of addressing those other issues, and states that change their systems for such reasons may find both their governance and the underlying problems of the system unresolved."¹¹⁷

McGuinness, too, cautions against states becoming "... embroiled in governance debates without defining the real issues that are driving the debate."¹¹⁸ He argues as well for a realistic view on the part of those doing the co-ordinating regarding the limitations of the model: "State co-ordination is not the same as governance. Co-ordination is concerned primarily with the state and system perspective - the framework within which governance takes place." And he reminds co-ordinators to be true to the apparent strengths of the model: "An effective co-ordinating mechanism is one that addresses the state or system-wide issues while at the same time reinforcing effective institutional leadership and governance."¹¹⁹ In the end, however, he acknowledges the challenges:

State co-ordination of higher education is the most complex, difficult, balancing act in state government. There are no simple answers, no absolutes. Conflicts are the reality. The challenge is to resolve those conflicts as close to the real problems as possible. What worked at one point, with one set of actors, may not work at another point.¹²⁰

Finally, Dressel argues the importance of co-ordination to institutional autonomy:

Co-ordination, in some sense, is here, and it is here to stay. Institutions have not yet realized that this raises their concern for autonomy to a new level. If the autonomy of co-ordinating or single statewide boards is endangered, then all institutions suffer. The fate of a system in this regard is irretrievably tied up with the fate of the board. The inability of co-ordinating boards to

116. Newman, *op. cit.*, p. 11.

117. Attributed to Robert Berdahl. Cited in Hines, *op. cit.*, p. 75.

118. Aims C. McGuinness, *State Postsecondary Education Structures: Handbook, 1988*, Education Commission of the States, Denver, 1988, p. 10.

119. *Ibid.*, p. 11.

120. *Ibid.*, p. 11.

achieve full and responsible co-operation from institutions has already caused many states to turn to a single board.¹²¹

In Millett's words: "Co-ordinating boards will continue to be resisted by institutional governing boards and presidents, even though such resistance is short-sighted and may eventually be self-defeating."¹²²

Conclusion

This paper has attempted to summarize some of the literature which has been published over the last 30 years on the issue of university autonomy and the relationships between autonomy and academic freedom and accountability. It surveys different views on the nature of university-government relations and the "legitimacy" of state intrusion into the affairs of universities. In the absence of a well articulated view drawn from the government's perspective, it is based almost entirely on materials developed within or by members of the university community.

University autonomy is identified as an important principle largely because it is perceived to be a significant buttress of academic freedom. It is also acknowledged to serve as a means to enhance the management effectiveness of universities. While its role in defence of academic freedom is or should be unassailable (unless alternate means are developed for the defence of academic freedom), its role as a tool to enhance management effectiveness is or should be constrained by the benefits which society draws from the particular way in which autonomy is defined.

It is often observed that the mission of any university "system" exceeds the sum of the missions of the individual institutions which make it up. The articulation of this larger mission and its application to the roles and responsibilities of individual universities is generally regarded to be the task of government. It is also generally acknowledged that this co-ordinating role is best effected by an arm's-length agency that is neither a government department nor part of the governance structure of universities, individually or collectively.

It is a given that universities will resist this and other constraints on their independence. That is an appropriate role for them to play. If they are to be effective in this role, however, they must do so in a way:

- that recognizes the legitimacy of some government role in the determination of higher education policy
- that acknowledges that the government's role will change over time
- that demonstrates a willingness to engage in constructive dialogue about how public policy objectives and university interests can best be reconciled, and
- that seeks the government's trust through a willingness to demonstrate the orderly, efficient and effective use of public resources.

It goes without saying that governments, too, need to approach the reconciliation of their and the universities' interests with sensitivity and foresight. Within this context, governments must:

- recognize and acknowledge the fundamental importance of academic freedom to the university's capacity to fulfil its mission
- demonstrate a greater willingness than has been demonstrated in the past to articulate a vision of higher education, and to establish and maintain policies that are consistent with that vision,

121. Dressel, *op. cit.* pp. 97-98.

122. Millett, *op. cit.*, p. 264.

- seek the trust of the university community by pursuing the development of higher education policy in an inclusive, objective and open manner, and
- afford universities the maximum amount of freedom to pursue their broader objectives, consistent with the public interest.

There is an urgent need for debate about how to make the state role more thoughtful. U.S. Senator Terry Sanford (N.C.) once said, "More universities have probably been harmed through political indifference than through political interference."¹²³

123. Newman, *op. cit.*, p. 13.

APPENDIX 1

The Research

There has been little empirical research carried out in the area of university autonomy. J. Fredericks Volkwein has conducted the most extensive work in the area based on three studies of 86 of the 120 public research universities in the Carnegie classification, examining the effects of regulation and autonomy on a number of different measures of quality, cost and administrative organization.

In his first study (1984), Volkwein wished to determine whether there is

... evidence to support the notion that high regulation and elaborate fiscal control is associated with lower administrative overhead, with cost containment, and with less organizational elaborateness. Conversely, do universities with a great deal of financial flexibility spend less on administrative operation and do they have a more streamlined administrative structure than universities which are treated like state agencies? ¹²⁴

A flexibility/control index was constructed and compared to administrative operating costs, salary rates for administrative staff and "administrative elaborateness." The study showed that "... once a number of control variables are entered into a regression analysis, there are virtually no differences in administrative expenditures, administrative salaries, nor administrative elaborateness among universities that enjoy a great deal of autonomy and those that are subjected to relatively heavy oversight." ¹²⁵

In his second study (1986) Volkwein set out "... to describe state regulatory practices and to examine their relationship to various state and institutional characteristics." Given the particular measures of quality and autonomy he defined, he concludes that

...the study finds little evidence to support a relationship between freedom from state academic and financial constraints, on the one hand, and faculty and student quality and external funding success, on the other. Rather, it appears that the significant differences in quality and success among universities are explained, for the most part, by differences in state generosity and campus size. ¹²⁶

In his third study (1987), Volkwein set out to determine 1) whether "... campuses that are less regulated show greater gains over time in measures of quality and success than campuses which are more heavily regulated? 2) [whether] flexibility [has] the greatest benefit for campuses which are poorly funded? and 3) [whether] a campus [must] be adequately funded before it can

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124. J. Fredericks Volkwein, *State Financial Control Practices and Public Universities: Results of a National Study*. Paper presented to the Annual Meeting of the Association for the Study of Higher Education, 25 March 1984, p 1. Also reported in "State Financial Control of Public Universities and its Relationship to Campus Administrative Elaborateness and Cost," *Review of Higher Education*, Volume 9 (1986).
125. J. Fredericks Volkwein, "Campus Autonomy and its Relationship to Measures of University Quality," *Journal of Higher Education*, Volume 57, Number 5 (1986), p. 519.
126. *Ibid.*, p. 521. Originally reported in J. Fredericks Volkwein, *The Correlates of State Regulation and University Autonomy*, paper presented to the Annual Meeting of the Association for Higher Education, 1986.

take advantage of its autonomy?"¹²⁷ His findings in this third study "... suggest that improvements in quality and funding have very little to do with the amount of state regulation exerted on public doctoral universities..." and that "... campus autonomy makes little contribution to campus quality, neither under conditions of financial stringency nor under conditions of adequate support."¹²⁸

Volkwein's final study contains a useful table (see page 35) in which he categorizes states according to their degree of regulatory control over universities.

States were ranked along a continuum of practices ranging from a great deal of state control and authority in these matters to a great deal of university flexibility.... On the financial dimension, the Volkwein data are used to place states into one of three Curry & Fischer categories: state agency, state controlled, state aided. (The corporate model did not apply.) The measure of Academic Authority in table 2 was derived from the raw data collected for the 1982 Carnegie Foundation Report.¹²⁹

Based on the assumption that state systems have been accurately assigned to the correct cell in the matrix, Volkwein's conclusions appear to have face validity, i.e. that quality of outcomes is apparently unrelated to degree of state control.

In a study published in the *Journal of Higher Education* in 1988, Lois Fisher asks the question: "Do state legislatures pose an increasing threat to the autonomy of colleges and universities?"¹³⁰ She attempts to answer the question by examining "... all major higher education acts since colonial or territorial times and all other acts pertaining explicitly to higher education that were passed during 1900-1979 in the [four randomly-selected] states studied." She concludes:

Analysis of all higher education acts passed and detailed study of major governance acts does not suggest an increased tendency of state legislatures in recent decades to restrict institutional autonomy in any of the four states. State legislatures and other state government bodies have always been involved in and to some extent have always intruded upon the affairs of higher education. There has been a continual feeling that, although intrusions by state legislatures had not yet gone too far, institutions might be on the brink of serious loss of autonomy. Institutions have long felt the best protection is vigilance.¹³¹

127. J. Fredericks Volkwein, "Changes in Quality among Public Universities," *Journal of Higher Education*, Volume 60, Number 2 (1989), p. 143.

128. *Ibid.*, p. 147.

129. *Ibid.*, p. 140.

130. Lois A. Fisher, "State Legislatures and the Autonomy of Colleges and Universities: A Comparative Study of Legislation in Four States, 1900-1979," *Journal of Higher Education*, Volume 59, Number 2 (1988), pp. 133.

131. *Ibid.*, p. 159.

Classification of States According to Their Regulatory Practices Toward Public Universities			
Academic Authority	Financial Authority (1983)		
	Centralized---	-----Decentralized-----	---Independent
	State Agency	State Controlled	State Aided
Centralized (European Ministry)	Mass. Montana N. Carolina New York S. Dakota Virginia W. Virginia	Georgia Louisiana New Jersey Oklahoma Tennessee Texas Wisconsin	Alabama Indiana Kentucky Mississippi Missouri Utah
Decentralized (Campus Control)	Connecticut Florida Hawaii Illinois Kansas Maryland S. Carolina	Arizona Arkansas California Colorado Nebraska Nevada Oregon Rhode Island Washington Wyoming	Delaware Idaho Iowa Maine Michigan Minnesota N. Hampshire New Mexico N. Dakota Ohio Pennsylvania Vermont
Independent (Free Market)			

J. Wade Gilley reports on the findings of a 1988-89 survey conducted by the Center for Policy Studies in Education at George Mason University in his monograph *Thinking About American Higher Education: The 1990s and Beyond*. The survey sought to identify what institutional characteristics were associated with the top American public universities. Respondents included university presidents, governors, and "other higher education professionals."

The survey found that "contrary to conventional wisdom, one characteristic not shared by the top ten states is governance structure.... In fact, as the following list indicates, the survey reflected little direct correlation between any state's governance structure and respondents' perceptions of system quality in that state."

States with significant central control

New York
North Carolina
Wisconsin
Florida

States with moderate statewide control

California
Minnesota
Texas
Illinois

States with limited control at the state level

Michigan
Virginia¹³²

Thus, it is difficult to identify type of governance or level of state control as a significant factor in the perceived quality of a state's higher educational system. Clearly, governance structure is not by itself the key to developing a respected system of public education.¹³³

Jerry Boone, Sue Peterson, Daniel Poje, and Mel Scarlett report in the Winter 1991 issue of *The Review of Higher Education* on the results of a study to determine "... (1) where those at the various levels of public university governance think typical higher education decisions are being made and (2) where they believe ideally those decisions should be made."¹³⁴

They concluded that:

Despite the widespread complaints about outside intrusion into the traditional autonomy of public universities, we found that even presidents and faculty expressed little discontent. And external groups who reportedly believed that the institutions have too much autonomy did not display that attitude greatly in their responses.¹³⁵

Further:

The study did not yield examples of vigorously disputed territory in university decision authority, as experience and reading had led us to expect. Perhaps there is more rhetoric than substance in the complaints. Perhaps the discontent is due more to how authority is exercised than to its location. Or perhaps the discomfort is caused by the rapidity with which the authority is reported moving away from the

132. J. Wade Gilley, *Thinking About American Higher Education: The 1990s and Beyond*. Macmillan, Toronto, 1991, p. 124.

133. *Ibid.*, p. 125.

134. Boone et. al., *op. cit.*, p. 138

135. *Ibid.*, p. 149.

campus rather than the movement itself, an uncomfortable disturbance
in the status quo.¹³⁶

Finally, James C. Hearn and Carolyn P. Griswold reported in the summer, 1994, issue of the journal of the American Educational Research Association, *Educational Evaluation and Policy Analysis*, on the findings of a study they had conducted into the relationship between the organization of higher education and the incidence of policy innovation in the fifty states. Their research has led them to conclude that: "Statewide governing boards and strong coordinating boards are positively associated with innovation in academic areas...." Further, they noted: "... a striking absence of systematic differences in innovation patterns between states with consolidated governing boards and states with strong coordinating boards."¹³⁷

136. *Ibid.*, p. 150.

137. James C. Hearn and Carolyn P. Griswold, "State-Level Centralization and Policy Innovation in U.S. Postsecondary Education," *Educational Evaluation and Policy Analysis*, Volume 16, Number 2 (1994), p. 183.

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**University-Government Relations in Ontario 1945-1995:
A Summary of Selected Initiatives and Recommendations
Related To System Coordination and Planning**

March 1995

1.0 Introduction

This paper is one of a number of technical/background papers related to the Resource Allocation Reference which initiated a review of the funding system for universities in Ontario. The Resource Allocation Review is a response to the Minister's request that the Ontario Council on University Affairs (OCUA) "conduct a review of the funding system for the universities of Ontario"¹. The Review initiated a wide-ranging program of policy research and inquiry into higher education in Ontario. This paper provides an overview of selected commissions, reports and other initiatives which have had implications for the roles of government and universities in system-level university coordination and planning in Ontario since 1945. The paper draws extensively on government reports. Although some reports reviewed were sponsored by provincial or national organizations such as the Association of Universities and Colleges of Canada (AUCC), the Canadian Association of University Teachers (CAUT) and the Council of Ontario Universities (COU), the paper does not claim to have mined this material comprehensively. It should be noted that reactions to the reports reviewed are addressed in a cursory fashion if at all, and hence, the discussion is in some respects one-sided.

Since World War II, numerous commissions, reports and initiatives have made recommendations with respect to arrangements and approaches that could facilitate interaction between universities and government and promote efficiencies and economies to be derived from a system-level approach to enrolment growth and program development. These suggestions vary with respect to the extent of university autonomy and government involvement in university coordination and planning. They also reflect somewhat different visions for the future of individual institutions, for the universities as a system and for post-secondary education, including both universities and colleges, in Ontario.

Between 1945 and 1994, full-time university enrolment in Ontario increased more than ten-fold, from approximately 22,000 to 230,000. Full-time undergraduate enrolment grew from approximately 20,000 to 205,000 and full-time graduate enrolment increased from approximately 1,500 to 24,000 during this period.² Since 1945, there has been a gradual evolution in the balance between individual institutional coordination and planning and system coordination and planning, toward greater system coordination and planning. The desire for greater system coordination and planning has been expressed, perceived benefits have been identified, and the responsibility for its implementation has become a responsibility shared between the institutions and the government.

Section 2.0 provides an overview of the period 1945 to 1973 - an era of rapid expansion and development for Ontario universities. It outlines the impact the Federal government had in promoting and financing the expansion of Canadian universities post-World War II. A significant increase in student demand for a university education and the perceived economic benefits derived from a highly educated and trained workforce meant the provinces were faced with balancing rapid institutional growth with perceived needs, then determining the necessary level of public resources. In Ontario, university-government relations gradually became more systematic with respect to the funding of universities. The funding and policy functions also became more arms-length with the use of advisory groups and committees. A formula funding mechanism was implemented in 1967.

1. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 24, 1993.

2. The source of the 1945 data is from Statistics Canada, *Historical Compendium of Education Statistics from Confederation to 1975*, Ottawa: May 1978, No. 81-568, p. 211. The source of the 1994 Fall headcount data is from USIS-UAR Statistical System, Ministry of Education and Training, Ontario, 1995, and includes data for the Ontario universities, their affiliates and federates, OISE, Dominican College and the Ontario College of Art. Although part-time enrolment figures for 1945 were not available for Fall 1994, (headcounts) USIS-UAR data indicate that there were also approximately 83,000 undergraduate and 11,000 graduate students studying in Ontario on a part-time basis. In comparing 1945 data to 1994 data, it must be noted that student enrolment definitions, and the institutions surveyed, will not be strictly comparable.

Between 1945 and 1972, both the Federal and Ontario governments became much more actively involved in the consideration of the nature and extent of university development. In addition, enthusiasm for university expansion, experienced in the 1950s and early 1960s, began to diminish. Hence, the emergence of attempts to facilitate and encourage elements of coordination and planning into university affairs.

In the mid-1960s, the Ontario government also began to enunciate limits on university autonomy and eventually established a commission of inquiry into graduate program planning which reported in 1966. In 1968, the universities, through their national organization, the Association of Universities and Colleges of Canada, sponsored a commission to examine the relations between universities and government. In 1972, the Ontario government commissioned a comprehensive study of post-secondary education in the province to ensure its effective future development.

Established in 1974, OCUA surveyed the ad hoc attempts on the part of the Ontario university collectivity to engage in voluntary coordination and planning. Section 3.0 describes a variety of initiatives undertaken by OCUA with respect to academic program coordination and planning during a period of increasingly constrained public sector resources. For the most part, OCUA saw its role as providing leadership and assistance to help the university system undertake coordination and planning on its own behalf. Towards this end, OCUA promoted institutional role differentiation and system-level academic coordination and planning.

Initiatives involving academic planning and sectoral program planning proved unsatisfactory or unworkable. The university collectivity relinquished the academic program planning and coordination role, arguing that it was not constituted in such a way as to effectively undertake such tasks. OCUA encouraged system rationalization and institutional role differentiation as tools to facilitate system decisions which would protect the public interest during a period of fiscal constraint and declining enrolments. OCUA did not assume a central role in university coordination and planning. Until the early 1980s, the government promoted voluntary coordination and planning initiatives over government intervention in university affairs. OCUA has made its most enduring, albeit limited, contribution to academic coordination and planning in the area of new graduate and undergraduate professional, quasi-professional and special programs for which public funding is requested.

Section 4.0 of the paper outlines the steady stream of reports during the 1980s examining the roles of government and universities in coordination and planning. A wide variety of issues were raised including public policy objectives for universities, associated public funding requirements, inter-institutional cooperation, and more clearly defined and modified roles for OCUA, the government and the Council of Ontario Universities. Many recommendations were made concerning government intervention in university funding, coordination and planning. Some advocated a limited role for government in coordination and planning while identifying the need for the Ontario university collectivity to effectively coordinate and plan the long-term development of a university system that would efficiently and effectively serve the public interest. Other reports advocated a strengthening of OCUA or the creation of a new intermediary body with executive powers to facilitate coordination and planning. A new provincial funding mechanism that had a specific planning component was introduced during this period.

Section 5.0 outlines the movement toward viewing university policy issues in a post-secondary context relative to broad provincial social and economic development needs. Reports from 1990 to the present tended to emphasize the importance of life-long learning, linkages among universities and between colleges and universities, student mobility across the post-secondary sector, the creation of new kinds of post-secondary educational opportunities for advanced training which combine community college and university-level study, and post-secondary consortiums - again with community college and university membership - to facilitate the delivery of advanced training and distance education. Coordination and planning are viewed as instruments in response to societal needs for continuous learning opportunities and to enable universities to meet public expectations in an environment of scarce resources.

Table 1 provides a listing of the commissions, reports and initiatives included in this review, and a brief summary of their major observations or recommendations with respect to coordination and planning.

2.0 University Expansion and Emerging Calls for Coordination and Planning, 1945-1973

The Federal Government's Role in the Post-War Expansion of Canadian Universities

In the period immediately following World War II, the Federal government played a unique role in financing universities. Most universities at that time were small and, despite provincial support, under-resourced. At the conclusion of the war, universities played a key role in the orderly reintroduction into Canadian society of the returning veterans. The Federal government, in conjunction with the National Conference of Canadian Universities (NCCU)³, undertook to provide university education for returning veterans. The *Veterans Rehabilitation Act* ensured that the Federal government paid the tuition fees of qualifying veterans and provided a grant to the receiving university of \$150 per veteran. University enrolment in Canada increased by 46% in one year. In 1946-47, demobilized servicemen accounted for 44% of all university students.⁴ However, the significant increases in university enrolment were due to more than just the intake of veterans as the number of veterans supported by the federal grants program dwindled. As Cameron (1991) notes: "Discounting veterans, university enrolment in Canada increased from 36,000 in 1941-42 to 61,600 in 1951-52, an increase of almost 70 per cent in 10 years."⁵

In view of the skyrocketing student demand for university education in addition to the "veterans bulge", universities turned to both federal and provincial levels of government for additional support. As Cameron (1991) observes, "A vehicle for advocating ... a policy [of continued Federal financial support] was conveniently provided by the Royal Commission on National Development in the Arts, Letters and Sciences, established in 1949".⁶

In 1951, the Massey-Levesque Commission reported that in the absence of planned development, and faced with falling revenue and rising costs, universities' efforts to meet societal needs had distorted their educational role:

Universities have become essential institutions of higher education, of general culture, of specialized and professional training and of advanced scientific research. For years they have been handicapped by inadequate income; now they face a financial crisis. Their enforced economies have had many unhappy effects: important plans of development and expansion have been curtailed. The quality of the work done has been impaired, the composition of the student body has been adversely affected. The result... which we consider to be the most dangerous because the most subtle, is... the neglect and distortion of the humanities. We have been told that although penury is by no means the sole cause of this unhappy situation, it has been an important contributing factor. Under contemporary demands the modern university is urged to provide expanding facilities for technical training. The

3. The NCCU was the precursor to the Association of Universities and Colleges of Canada.

4. David Cameron, *More Than an Academic Question: Universities, Government and Public Policy in Canada*, Halifax: The Institute for Research on Public Policy, 1991, p. 44.

5. *Ibid.*, p. 45.

6. *Ibid.*, p. 46.

Table 1

A SELECTION OF COMMISSIONS, REPORTS AND/OR INITIATIVES RELATED TO UNIVERSITY-GOVERNMENT RELATIONS, COORDINATION AND PLANNING UNDERTAKEN SINCE 1945

Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning
1951	Royal Commission on National Development in the Arts, Letters and Sciences (Massey-Levesque Commission)	Federal Government	<ul style="list-style-type: none"> that the Federal government make direct annual contributions to support the expanding work of the universities
1958	Royal Commission on Canada's Economic Prospects (Gordon Commission)	Federal Government	<ul style="list-style-type: none"> improve and expand universities to improve and expand the national economy
1962	<i>Post-Secondary Education in Ontario, 1962-70</i> (Deutsch Report)	Committee of Presidents of Provincially-assisted Universities of Ontario	<ul style="list-style-type: none"> significantly expand the size and number of Ontario universities and encourage growth in graduate studies
1964	Royal Commission on Health Services (Hall Commission)	Federal Government	<ul style="list-style-type: none"> that the Federal government provide financial support for the expansion of university programs in medicine, dentistry and nursing
1964	First Annual Review: <i>Economic Goals for Canada to 1970</i>	Economic Council of Canada	<ul style="list-style-type: none"> a high standard of living and high-employment economy required a "high-education" economy
1965	Second Annual Review: <i>Towards Sustained and Balanced Economic Growth</i>	Economic Council of Canada	<ul style="list-style-type: none"> "returns on the human investment" in high school and university education are in the range of 15 to 20 per cent investment in education should be the highest priority in policy-making

Legend:

AUCC = Association of Universities and Colleges of Canada
CAUT = Canadian Association of University Teachers

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Table 1 (continued)

A SELECTION OF COMMISSIONS, REPORTS AND/OR INITIATIVES RELATED TO UNIVERSITY-GOVERNMENT RELATIONS, COORDINATION AND PLANNING UNDERTAKEN SINCE 1945				
Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning	
1965	<i>Financing Higher Education in Canada</i> (Bladen Commission)	AUCC	<ul style="list-style-type: none"> • expansion of university programs and services is essential to national prosperity • provinces should establish funding formulas and "Grants Commissions" to manage financial allocations to universities 	
1966	Commission to Study the Development of Graduate Programmes in Ontario Universities (Spinks Commission)	Ontario/Committee of Presidents of Provincially-assisted Universities of Ontario	<ul style="list-style-type: none"> • restrict doctoral programs to a few universities • research and library resources should be allocated according to system-wide plan • create a 'state' university system - University of Ontario to constrain competition and "ill-advised" expansion 	
1970	Commission on the Relations Between Universities and Governments (Hurtubise, Rowat Commission)	AUCC/CAUT/ Canadian Union of Students/Union générale des étudiants du Québec	<ul style="list-style-type: none"> • government should clarify public goals for universities • voluntary university cooperation seldom effective without government sanctions • provinces should establish coordinating and planning commissions 	
1971-1983	Advisory Committee on Academic Planning (ACAP) Planning Assessments 1975-1976 Planning Appraisals 1976-1983	COU	<ul style="list-style-type: none"> • ACAP developed graduate program planning reports based on discipline reviews • later, ACAP conducted planning appraisals • later still, ACAP provided COU with advice on the need, uniqueness and student demand for new graduate programs seeking public funding - this information was passed on to OCUA 	

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A SELECTION OF COMMISSIONS, REPORTS AND/OR INITIATIVES RELATED TO UNIVERSITY-GOVERNMENT RELATIONS, COORDINATION AND PLANNING UNDERTAKEN SINCE 1945

Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning
1972	The Commission to Study the Rationalisation of University Research: <i>Quest for the Optimum: Research Policy in the Universities of Canada</i> (Bonneau, Corry Commission)	AUCC	<ul style="list-style-type: none"> institutional, provincial and national coordination and planning of university research
1972	Commission on Postsecondary Education in Ontario: <i>The Learning Society</i> (Wright Commission)	Ontario	<ul style="list-style-type: none"> create a "Council on University Affairs" with executive powers to undertake coordination and planning and "buffer" institutions from government
1978	<i>The Ontario University System: A Statement of Issues</i>	OCUA	<ul style="list-style-type: none"> need for rationalization and consolidation of programs through increased role differentiation
1979	<i>System on the Brink: A Financial Analysis of the Ontario University System 1979</i>	OCUA	<ul style="list-style-type: none"> need for system planning in view of "immense resource allocation problems"
1980	<i>System Rationalization: A Responsibility and an Opportunity</i>	OCUA	<ul style="list-style-type: none"> need for system-wide consolidation and rationalization based on the existence of a university "system" and a particular "role" for each institution within that system
1980	<i>Challenge of Substance</i> Council of Ontario Universities' Committee on Long-Range Planning	COU	<ul style="list-style-type: none"> COU cannot effectively undertake inter-institutional planning and cooperation measures all new undergraduate programs should be reported by COU to other institutions COU should establish a committee to guide identification of undergraduate programming needs at the system-level

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Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning
1980-82	Sectoral Planning	OCUA/COU	<ul style="list-style-type: none"> identification of institutional sectoral strength would create flexibility in the establishment of new academic programs in areas of program strength, but restrict program development in areas of limited academic involvement
1981	<i>Final Report of the Special Committee to Review Graduate Planning</i>	COU	<ul style="list-style-type: none"> COU should strengthen the graduate program quality appraisals process by introducing periodic appraisals COU should appoint a Committee on Graduate Planning to assume a broad planning and monitoring role COU is not constituted in such a way as to address the issue of the role definition of its members or planning criteria - OCUA should do this
1981	Committee on the Future Role of Universities in Ontario (Fisher Committee)	Ontario	<ul style="list-style-type: none"> universities should have responsibility for institutional planning within the framework of government objectives and pursue differing institutional roles based on their strengths OCUA should have an academic advisory body
1984	The Commission on the Future Development of the Universities of Ontario <i>Ontario Universities: Options and Futures</i> (Bovey Commission)	Ontario	<ul style="list-style-type: none"> institutional differentiation should occur in a competitive context rather than by formal designation and central control OCUA should have specified regulatory powers enabling it to reconcile conflicting institutional aspirations

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Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning
1986 to 1990	The Corridor Negotiations Related to the Implementation of a new University Funding System	OCUA	<ul style="list-style-type: none"> a funding mechanism was implemented with a specific "planning" aspect related to system-level needs institutions negotiated activity levels with OCUA, with "planned" increases or decreases in enrolment resulting in stable funding levels
1988	<i>The Report of the External Advisor to the Minister of Colleges and Universities on the Future Role and Function of the Ontario Council on University Affairs and its Academic Advisory Committee</i> (Stubbs Report)	Ontario	<ul style="list-style-type: none"> OCUA attempting to play an advisory and regulatory role within the corridor system of funding, but lacks the mandate and resources to execute such a role in a timely and effective manner OCUA should abandon some regulatory functions in order to take a more active role in system planning and coordination
1990	Premier's Council Report <i>People and Skills in the New Global Economy</i>	Ontario	<ul style="list-style-type: none"> educational opportunities in Ontario should be a continuum of opportunities for life-long learning community colleges and universities viewed in a "post-secondary system" context credit transfer arrangements should be established to provide continuity and advanced standing with respect to credit transfer from colleges to universities and from universities to colleges
1990	Vision 2000: Quality and Opportunity	Ontario	<ul style="list-style-type: none"> build better links among colleges and between colleges, schools and universities to facilitate movement of students and provide better access to advanced training create combined college-university degree programs

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Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning	
1991	Commission of Inquiry on Canadian University Education (Smith Commission)	AUCC	<ul style="list-style-type: none"> • greater sharing of expertise among universities nationally • universities should form national consortium to more efficiently and effectively deliver distance education • establish a national council for credit transfer • create combined college-university degree programs 	
1992	University Restructuring Steering Committee (URSC) <i>Open Letter to Members of the Ontario University Community and Other Interested Persons</i> , October 30, 1992	Ontario	<ul style="list-style-type: none"> • purpose of URSC included making the university sector responsive to the continuous or lifelong educational needs of the economy • proposed research agenda included issues of diversity of institutional mission; enhancing post-secondary cooperation between colleges and universities and between them and the broader society; encouraging cooperative resource sharing among universities and between universities and the broader society 	
1993	Task Force on Advanced Training <i>No Dead Ends</i> (Pitman Task Force)	Ontario	<ul style="list-style-type: none"> • colleges, universities and the employment sector must work in partnership to provide advanced training programs • eliminate barriers to "inter-sectoral" post-secondary credit transfer • create a mechanism to facilitate community college-university credit transfer in both directions 	

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Year	Commissions, Reports, and/or Initiatives	Agency or Government Sponsor	Central Observations or Recommendations with respect to Coordination and Planning
1994	<i>The National Agenda</i> and subsequent initiatives	Council of Ministers of Education, Canada	<ul style="list-style-type: none"> remove barriers to post-secondary credit transfer (among universities for the first two years of university study, and subsequently among colleges, and between universities and colleges) expand interprovincial collaboration among universities on curriculum, distance education
1995	Resource Allocation Reference Letter from the Minister of Education and Training to OCUA of November 24, 1993 <i>Sustaining Quality in Changing Times: Funding Ontario Universities, A Discussion Paper</i> , August 1994	OCUA	<ul style="list-style-type: none"> The Minister of Education and Training requested that a revised funding policy be developed in the context of an integrated educational system permitting "easy movement" from one sector to another The Minister indicated that the funding system must encourage sharing and cooperation among universities, colleges of applied arts and technology and others The Minister indicated that the funding system should encourage cooperation and restructuring at the program level, differentiation and interdependence Advice to be provided by OCUA to the Minister during the Spring of 1995

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AUCC = Association of Universities and Colleges of Canada
CAUT = Canadian Association of University Teachers

COU = Council of Ontario Universities (formerly the Committee of Presidents of Provincially-assisted Universities of Ontario)
OCUA = Ontario Council on University Affairs

urge "to speed up production" and to emphasize technology in the university's curricula has led to a growing stress on purely utilitarian subjects in academic courses. The practical result has been..."conspiracies to prevent people from being educated". It is certainly neither our right nor our wish to tell the universities how to do their work, but, if financial stringency prevents these great institutions from being, as they have said, "nurseries of a truly Canadian civilization and culture", we are convinced that this is a matter of national concern.⁷

The Commission went on to recommend "[t]hat...the Federal Government make annual contributions to support the work of the universities on the basis of the population of each of the provinces of Canada".⁸ This advice was accepted and, for 1951-52, the Federal government provided \$7.1 million in grants to universities, 50 cents per capita, divided into provincial entitlements on the basis of population and paid directly to universities and colleges, regardless of their denominational status, in proportion to their share of enrolment in each province. The grants were:

...designed...to assist the universities to maintain the highly qualified staffs and the working conditions which are essential for the proper performance of their functions - in other words, to maintain quality rather than to increase existing facilities.⁹

This constituted the first form of direct formula operating grant support for Ontario universities.

In addition to promoting universities as socio-cultural assets, the 1958 Royal Commission on Canada's Economic Prospects, chaired by Walter Gordon, a Toronto Chartered Accountant, linked a university education to economic growth and individual prosperity. The improvement and expansion of universities were perceived to be central to national, and by inference, provincial, economic development.

The Economic Council of Canada, in its *First Annual Review: Economic Goals for Canada to 1970* (1964), similarly argued for the importance of investment in higher education in relation to the growth of the national economic well-being.

Also in 1964, the Royal Commission on Health Services, chaired by Mr. Justice Emmett Hall, published its recommendations concerning universal access to prepaid medical services. To achieve this objective, a massive expansion in the number of university-trained health care professionals, including physicians, was deemed to be required. Additional medical schools and expansion of existing ones, an increase in the number of schools of nursing and additional dental schools were recommended.¹⁰ The level of financial assistance the Federal government was advised to provide was substantial, including additional per capita grants to universities offering professional health programs, assuming half the costs of construction of new teaching hospitals, funding half the costs of the construction of new medical and dental schools, making grants to medical and dental students and increasing the scope and funding of the Medical Research Council.

7. Report: *Royal Commission on National Development in the Arts, Letters and Sciences 1949-51*, Ottawa: King's Printer, 1951, p. 143.

8. *Ibid.*, p. 355.

9. Cameron, *op. cit.*, p. 48, citing Canada, House of Commons, *Debates*, 4th Session, 21st Parliament.

10. *Royal Commission on Health Services*, Ottawa: Queen's Printer, vol. 1, 1964, pp. 67-83.

Financing Higher Education in Canada, the report of a Commission to the Association of Universities and Colleges of Canada (1965) chaired by Vincent W. Bladen,¹¹ supported the findings of the Gordon and Hall Commissions, and concluded that there was a significant demand for higher education, and that expansion of university programs and services was essential. The report stated: "The people demand it; our economic growth requires it; our governments must take the action necessary to implement it."¹² This report advocated shared federal and provincial involvement in the expansion of higher education in Canada.¹³

The second annual review of the Economic Council of Canada, *Towards Sustained and Balanced Economic Growth* (1965),¹⁴ provided further evidence of the economic benefits associated with public investment in higher education. The Economic Council concluded that approximately one quarter of the real growth in personal income in Canada since 1911 could be attributed directly to increased levels of education.¹⁵ With respect to the economic benefits of expenditures on higher education, the Council estimated that:

...the returns on the 'human investment' in high school and university education in Canada are in the range of 15 to 20 per cent per year, with slightly higher rates for an investment in a university education...¹⁶

The Council argued that its findings

...have an important implication for Canadian economic policy - suggesting that relatively greater emphasis should be placed on facilitating expanding investment in education in relation to expanding investment in other assets. In fact, this conclusion would appear to be in general accordance with the growing concern in many parts of the Canadian economy that the shortage of skilled and trained technical, professional and managerial manpower is even more critical than the problem of enlarging the physical facilities required for increasing output.¹⁷

As Cameron notes, the Council recommended "...that investment in education be accorded the highest rank in the scale of priorities." The objectives recommended by the Council were two-fold:

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11. Vincent W. Bladen was at the time a Professor of Political Economy and Dean of the Faculty of Arts & Sciences, University of Toronto.
 12. Vincent W. Bladen. "The Bladen Commission Recommends...", *University Affairs*, Vol.7, No. 1, October 1965, p. 1.
 13. This component of the Commission's advice was thwarted by constitutional concerns which resulted in federal withdrawal from matters of post-secondary education, except for the provision of funds for higher education to provincial governments and direct funding to institutions for research, Percy Smith, "Tidy Minds, Untidy Solutions: University Organization in Ontario" in *Higher Education*, No. 13, 1984, p. 571.
 14. Chaired by John Deutsch, formerly Vice-Principal of Queen's University.
 15. Cameron, *op. cit.*, p. 126.
 16. *Ibid.*, citing Economic Council of Canada, *Second Annual Review: Towards Sustained and Balanced Economic Growth*, Ottawa: Queen's Printer, 1965, p. 90.
 17. *Ibid.*, p. 127, citing Economic Council of Canada, *Second Annual Review*, *op. cit.*, p. 91.

...a rapid and substantial expansion of post-secondary education in all parts of Canada...to provide a ready opportunity to every qualified Canadian student so that financial obstacles will be eliminated as a barrier to higher education...[and to ensure the] ...development and implementation of greatly expanded programmes to upgrade and bring up to date the education and skill qualifications of the existing labour force, including professional workers and management.¹⁸

Provincial Government-University Relations in Ontario

At the end of World War II there were five degree-granting institutions in Ontario - two of which were denominational (McMaster University and the University of Ottawa¹⁹) and three of which were secular (University of Toronto, the University of Western Ontario and Queen's University). McMaster became a secularized university in 1957 and the University of Ottawa followed suit in 1965, making both eligible for provincial funding support. The University of Windsor (1962), Waterloo Lutheran University (1959) and the University of Waterloo (1959) emerged from colleges previously affiliated with the University of Western Ontario. A flurry of activity between 1957 and 1965 saw the following seven additional universities established: Carleton University (1957),²⁰ Laurentian University (1959), York University (1959), Trent University (1963), Brock University (1964), the University of Guelph (1964),²¹ and Lakehead University (1965).²²

While university expansion was encouraged by the Federal government, universities and provincial governments were grappling with the financial implications of institutional expansion and the increase in student demand for a university education. Cameron (1991) refers to the period to 1960 as a "virtual revolution" of higher education in Canada characterized by massive physical expansion of the major universities, growing autonomy for junior and affiliated colleges, the transformation of denominational colleges into public universities, and community pressure for new institutions in cities then without a university or college.²³ In the post-war period, university enrolment had nearly doubled from that of the pre-war levels. At the 1955 annual meeting of the National Conference of Canadian Universities (NCCU), university presidents were presented with

18. *Ibid.*, p. 127, citing Economic Council of Canada, *Second Annual Review*, *op.cit.*, p. 171.

19. J. Paul Stenton, *The Ontario University Operating Grants Formula: Its Development to 1986*, Ed.D. Thesis, University of Toronto, 1992, p. 53. Note, however, that both McMaster and Ottawa universities were in receipt of provincial grants for the nondenominational programs offered since the late 1940s (Hamilton College in the case of McMaster University and in the case of the University of Ottawa science and medicine programs were funded).

20. Created in 1942 and provincially-funded since 1951 as Carleton College.

21. Previously provincially-funded for a number of years by the Department of Agriculture through the Ontario Agricultural College, the Ontario Veterinary College and the Macdonald Institute.

22. Originally established in 1946 as Lakehead Technical Institute and provincially-funded since 1958 as Lakehead College. It should be noted that Waterloo Lutheran University did not become secularized and eligible for full provincial funding until 1973. At that time, it adopted the name Wilfrid Laurier University. Between 1967-68 and 1973, Waterloo Lutheran University received provincial funding at a rate of 50% which constituted the Federal flow-through component of university funding during that period.

23. *Ibid.*, p. 68.

the results of a study by Edward F. Sheffield which projected a second doubling of students in the succeeding decade.²⁴

A crisis was perceived by both universities and governments as a result of a rise in the number of potential students caused by the post-war "baby boom" and an explosion in the demand for highly trained personnel. Within a year it became clear that Sheffield's startling projections had been too low as actual enrolments exceeded projections. Projections accepted by the Ontario government suggested that enrolment in Ontario would rise from 55,000 full-time undergraduate students in 1965 to between 91,000 and 100,000 by 1970.²⁵

The universities in Ontario, finding themselves in a period of exponential expansion, feared rapid growth without additional funding. Provincial governments everywhere became much more active in the design and financing of universities and colleges.²⁶ In post-war Ontario, provincial funding was a major instrument of public policy with respect to universities and, at that time, only non-denominational universities were eligible for Ontario government grants. The post-World War II Federal government grants, extended to all universities and colleges regardless of denominational status, diverged from this provincial funding principle. Moreover, the Government of Ontario allocated all operating grants to universities on a discretionary basis determined initially by the Department of Education, and from 1964 by the Department of University Affairs. Recognition of the need for the relationship between the universities and the Government of Ontario to become more systematic resulted in the introduction, in 1951, of a series of provincial mechanisms for dealing with universities individually and collectively. The role of negotiating funding entitlements on behalf of the Provincial government was carried out by advisors to the Government (to 1958), a technical committee of four senior civil servants and, beginning in 1961, by a Provincial advisory committee - the Advisory Committee on University Affairs (ACUA). ACUA was composed originally of government representatives with the Minister of Education as Chair, but was broadened to include a majority of members drawn from outside government in 1964. Cameron notes that:

In advising the government on the financial needs of the provincially supported universities, the committee undertook line-by line reviews of institutional budgets, in order to fix the size of the "deficits" between anticipated revenues and expenditures that would then be forwarded to the Premier as the recommended grants.²⁷

A government review and subsequent negotiations with each eligible institution resulted in an allocation. Also in 1964, the ACUA was made advisory to the Minister of the newly established Department of University Affairs, rather than to the government as a whole.²⁸

Such structural arrangements were developed to distance the Government and its Ministers from directly negotiating university funding levels and budgets. Stewart (1970) notes, however, the hesitancy with which the first requests for specific data from the universities about

24. Stenton, *op. cit.*, p. 46. In fact, the doubling occurred in a period of only eight years.

25. As noted by Stenton, "In the six-year period since the Sheffield projections had been made (1954-55) to the time the Jackson projections were reviewed (1960-61) Ontario university full-time undergraduate enrolment had increased by 48% from 19,137 to 28,389." Stenton, *Op. cit.* pp. 50-51.

26. Cameron, *op. cit.*, p. 92

27. *Ibid.*, p. 98.

28. Robin Harris, "The Evolution of a Provincial System of Higher Education in Ontario", *On Higher Education*, D.F. Dadson, Editor, Toronto: University of Toronto Press, 1966, pp. 55-57.

enrolment, fees, faculty and salary scales, income and expenditures were made "out of respect for the principle of institutional autonomy."²⁹ As a result, such requests were made over the signature of the Minister of Education until 1962. Stewart notes that after that time "the government quickly moved to have the institutions forward the information requested directly to members of staff..."³⁰ Stenton (1992) notes that support for university independence was outlined in detail by the Premier of Ontario, John Roberts, in 1963:

This brings me to the point of the desirability of maintaining the independence of our universities. Indeed, I should go even further and say that this is essential. To achieve independence a university must be dependent in part on popular support from endowments, if possible, and students' fees. Added to this are the indispensable government grants. Government grants, however, should not be such as to interfere with the independent nature of a university. This is the position that we have always maintained and will continue to uphold...³¹

Throughout the 1950s, there was considerable dissatisfaction within the Ontario university community with the procedures used to allocate the discretionary grants. The concerns related to infringement on autonomy, lack of public accountability, disincentives to private philanthropy, lack of equity among institutional allocations and little predictability in finances and resources.³² The initial process of funding universities was unsophisticated, highly informal and undertaken in the absence of any objectives related to coordination or planning of a university "system": indeed, "Government had no way of determining in a systematic manner, the actual needs of universities".³³ Nor was there any assessment of societal need vis-a-vis new or existing university programs. Although by the late 1950s and early 1960s, the discretionary funding relationship between the Provincial government and the universities became more systematic and formal, it still did not address the university community's concerns about increased government intervention, demands for accountability, inequity, unpredictability and disincentives to private philanthropy.³⁴ The budget review process became increasingly complex and time-consuming. The institutions involved were less trustful of each other, more suspicious of their respective

29. *Ibid.*, Footnote 19, p. 133. As noted in *The Learning Society: Report of the Commission on Post-Secondary Education in Ontario*, Toronto: Ministry of Colleges and Universities, 1972, pp. 9-10, between 1920 and 1945, the Provincial government had been content with the idea of university independence as long as it did not result in the unreasonable expenditure of public funds, and as long as the behaviour of institutions and their members did not become the cause of public controversy or embarrassment to the government. The *Report* indicates that by adopting a policy of non-involvement, the government provided a protective environment in which "the concept of university autonomy became more firmly established and, to a considerable extent, set the pattern that prevails today.", citing E.E. Stewart, *The Role of Government in the Development of the Universities of Ontario 1791-1964*, Unpublished Doctoral Thesis, University of Toronto, 1970.

30. Cameron, *op. cit.*, p. 133, citing E.E. Stewart, *The Role of the Provincial Government in the Development of the Universities of Ontario, 1791-1964*, Toronto: University of Toronto Press, 1971, p. 202.

31. The Honourable John P. Roberts, Premier of Ontario, *Statement to the Ontario Legislature*, March 21, 1963, quoted in Stenton, *op. cit.*, p. 61.

32. *Ibid.*, pp. 64-65.

33. *Ibid.*, p. 62.

34. *Ibid.*, citing Alexander L. Darling, *et al.*, "Autonomy and Control: A University Funding Formula as an Instrument of Public Policy", *Higher Education*, vol. 18, 1989, p. 574.

intentions³⁵ and ever more competitive with respect to the acquisition of provincial operating grants.

In 1966, the Federal government ended its practice of providing grants to universities directly, and began flowing federal funding for universities through the provincial governments. In 1967-68, the Government of Ontario adopted a formulaic approach to fund universities based on the enrolment level in each institution and weighted according to the program in which students were enrolled.

An Emerging Provincial Role in Coordination and Planning

In the early 1960s, the advisory committee to the Minister of Education began to play a role in orchestrating the provincial response to the anticipated massive enrolment growth. Having identified a need for planning and coordination of university development that went beyond purely financial considerations, the Government looked to the universities collectively to address the issue. In March of 1962, the committee invited the presidents of the then ten provincially-supported universities to meet and consider a joint planning effort with the committee. Axelrod suggested that in this way "what...the committee had succeeded in doing was to turn the responsibility of planning back to the universities themselves."³⁶ University presidents were quick to take up the challenge of jointly planning for the growth of Ontario universities. A report, prepared by a sub-committee of the Committee of Presidents of Provincially-assisted Universities of Ontario,³⁷ chaired by John Deutsch, Vice-Principal of Queen's University, entitled *Post-Secondary Education in Ontario, 1962-1970*, was submitted to the government in the Spring of 1962. Known as the Deutsch Report, it effectively became the guide to the planned expansion of the Ontario university system throughout the 1960s. On March 21, 1963, the Provincial government unveiled a plan based on this report to expand significantly the size and number of universities, and encourage growth in graduate studies to ensure a significant pool of qualified candidates for the professoriate. New institutions eligible for provincial funding could be developed at the initiative of a particular community, with government support, or through the secularization of existing denominational institutions. Almost all of the major recommendations of the Deutsch Report were implemented, including the creation of new universities (Trent [1963], Brock [1964]), the establishment of satellite campuses in the eastern and western suburbs of Metropolitan Toronto (Scarborough [1965] and Erindale [1967] campuses of the University of Toronto), additional funds for the expansion of graduate programs, and the introduction of an Ontario graduate fellowship program (1963-64).

In March of 1963, Premier John Robarts made a statement in the provincial legislature to the effect that Ontario had managed to accommodate the significant demand for university education through expansion unparalleled in any comparable jurisdiction; therefore, additional institutions with degree-granting aspirations would be required to affiliate with an existing Ontario university:

It would seem to me that our present plans, as I have set out, call for sufficient universities to meet our needs for, say, the next 15 years...This would not preclude the formation of arts and other colleges, but if such are undertaken, they should be affiliated with one of our existing, well-

35. *Ibid.*, p. 65.

36. Paul Axelrod, *Scholars and Dollars: Politics, Economics and the Universities of Ontario, 1945-1980*, Toronto: University of Toronto Press, 1982, p. 93.

37. The Committee of Presidents of the Provincially-assisted Universities of Ontario, the predecessor of the Council of Ontario Universities, was formally established in December 1962.

established institutions. Otherwise, as I say, we risk the grave possibility of diluting our financial efforts.³⁸

The same speech included the one and only time that the Government enunciated a specific position on accessibility. Premier Robarts stated:

...the government does not look with approval on any university requiring unreasonably high standards of admission. It is our viewpoint that the admission standards should be moderate and reasonable and such as to enable the average student to proceed to a degree. I feel that a flexible standard somewhere between 55 and 60 per cent, depending on the type of course, should define what I mean by the "average student".³⁹

The Government's positions on matters of institutional expansion and admission standards, however, were not conceived in the context of an accompanying overall plan. As Cameron notes:

If Ontario was moving inexorably toward greater government control of university policy, it was doing so without any clear or precise sense of where it was going, and certainly without a master plan. Government policy continued to be pragmatic and reactive, preserving the "delicate balance" between its responsibility to account for the expenditure of public funds and the universities' need for autonomy.⁴⁰

Evidence of increasing government interest in universities was the subsequent establishment in 1964 of a free-standing Department of University Affairs, under the direction of the Honourable William Davis, who was also the Minister of Education. In introducing the legislation establishing the new department, Premier John Robarts made clear the underlying objectives of enhanced planning and system-level efficiencies:

The new department will administer all provincial grants paid to the universities and will maintain a constant scrutiny of the procedures and administrative methods by which this is carried out so that necessary changes in approach can be made when they are required... Procedures will be developed to allow detailed discussion between officials of the department and each university regarding proposed building plans on an individual and year-round basis.... [The Department] will work with the university officials in developing sound plans for the coordination of future expansion in the various faculties, schools and courses. In this way we will be able to eliminate unnecessary duplication of facilities and at the same time we will be able to ensure that no particular area of need is left without provision or no area of education is left undeveloped. We hope, too, that we can develop programs of cooperation in the purchase and use of various

38. The Honourable John P. Robarts, *Hansard/Debates of the Legislature of Ontario*, Toronto: Government of Ontario, March 21, 1963, p. 2009.

39. *Ibid.*, p. 2002.

40. Cameron, *op. cit.*, p. 102.

teaching materials and equipment and in this way we can spread the benefits further and, at the same time, also spread the cost on a more realistic basis.⁴¹

At the same time, the Government's advisory committee was expanded and reorganized along the lines of the British University Grants Committee. In response to the universities' demand for an intermediary body to sit between the government and the institutions,⁴² the new Committee on University Affairs (CUA) was established by Order-in-Council in 1964 "to study matters concerning the establishment, development, operation, expansion and financing of universities in Ontario and to make recommendations thereon to the Minister of University Affairs for the information and advice of the Government."⁴³ It was composed of an almost equal number of members originating from universities and senior government civil servants⁴⁴.

One of the Ontario government's most pressing concerns during the mid 1960s was the expansion of graduate programs. Despite widespread demand for graduate program expansion, there was growing concern with the associated costs and the development of premature or unduly expensive research initiatives.⁴⁵ The perception that universities were not able to provide graduate education to ever-increasing numbers of students within the bounds of reasonable cost was gaining credibility, and concern intensified after the Bladen Commission report had suggested that the relative cost of educating a Ph.D. student was five times more than the cost of educating an undergraduate student.⁴⁶

The growing public costs associated with the development of graduate programs during this period brought into question the prevailing practice of requiring very limited accountability of the publicly-funded universities and spawned substantial consideration of the appropriate degree of university autonomy vis-a-vis the public interest in university matters. Public support for institutional autonomy waned. In Ontario, the new Minister of University Affairs soon "served notice that his government was no longer content to allow respect for academic freedom and institutional autonomy either to dictate or to frustrate public policy objectives".⁴⁷

As noted by Smith (1984), the recognition of the need for planning and for instruments of planning at that time was met with a "bland refusal on the part of the universities to act on the

41. *The Learning Society, Report of the Commission on Post-Secondary Education in Ontario*. Toronto: Queen's Printer. 1972, pp. 106-107, citing the Honourable John P. Robarts, *Legislature of Ontario Debates*, April 22, 1964, pp. 2334-35.

42. Cameron, *op. cit.*, p. 102.

43. Committee on University Affairs, *Report of the Committee on University Affairs*, Toronto: Queen's Printer, December 31, 1967, p. 5.

44. For the composition, see Paul Axelrod, *op. cit.*, pp. 88-97.

45. J.W.T. Spinks, et. al., *Report to the Committee on University Affairs and the Committee of Presidents of Provincially-assisted Universities of the Commission to Study the Development of Graduate Programmes in Ontario Universities*, Toronto: The Commission, 1966, p. 22.

46. *Financing Higher Education in Canada Being the Report of A Commission to the Association of Universities and Colleges of Canada*, Chairman: Vincent W. Bladen. Toronto: University of Toronto Press, 1965, p. 51 and p. 70. For a summary of the formula proposed by Bladen to weight students, see Stenton's discussion of "federal grant units" pp. 92-93.

47. Cameron, *op. cit.*, p. 115.

recognition".⁴⁸ The Commission on Financing Higher Education in Canada (Bladen Commission 1965) had specifically recommended that the planning of higher education be an activity shared by universities and governments and that governments provide leadership with respect to financial needs. In this regard, its recommendation to provincial governments had been:

That they adopt some method of determining university operating and capital grants as will permit more rational forward planning by the universities. Specifically we recommend that all provinces that have not as yet established a "Grants Commission" do so: and that in all such Commissions there be strong academic representation. The function of the Commission would be to advise the government on the aggregate needs of the universities, capital and operating, and to divide among the universities the total amount in fact voted by the province.⁴⁹

The observations of the Committee on Higher Education in Great Britain, under the Chairmanship of Lord Robbins, were also influential with respect to the Ontario government's position regarding the appropriate balance between university autonomy and government intervention. The Robbins *Report of the Committee on Higher Education* suggested that:

It is when development policy and programmes are considered that the greatest difficulties arise. Undoubtedly it is good that academic institutions should have the liberty to determine their own programmes and policy...

But it is unlikely that separate consideration by independent institutions of their own affairs in their own circumstances will always result in a pattern that is comprehensive and appropriate in relation to the needs of society and the demands of the national economy. There is no guarantee of the emergence of any coherent policy. And this being so, it is not unreasonable to expect that the Government, which is the source of finance, should be content with an absence of coordination or should be without influence thereon.⁵⁰

In delivering the Frank Gerstein Lecture at York University in 1966, the Honourable William G. Davis, the new Minister of University Affairs, echoed these sentiments and clearly illustrated the dilemma which the Government faced in the early 1960's in trying to find a balance between public accountability and university autonomy. The Minister stated:

In so far as I can ascertain, the degree of autonomy enjoyed by the provincially assisted universities of Ontario is equivalent to, if not greater than, that known by publicly supported universities anywhere - including the United Kingdom. There is, moreover, much evidence to indicate that provided the universities can meet the responsibilities of our times we should undoubtedly be better off if they were allowed to continue to operate with such autonomy. On the other hand, if they cannot or will not accept those responsibilities, and if, for example, large numbers of able students must be

48. Percy Smith, *op. cit.*, 1984, p. 574. Percy Smith, former Vice-President, Academic, University of Guelph.

49. *Ibid.*, citing Bladen, 1965, p. 69.

50. *Report of the Committee on Higher Education*, Chairman: Lord Robbins, London: The Committee, 1963, p. 233.

turned away because the university is not prepared to accept them, or if, as another example, some of the less glamorous disciplines are ignored, despite pressing demands for graduates in those areas, or if costly duplication of effort is evident, I cannot imagine that any society, especially one bearing large expense for higher education, will want to stand idly by. For there will inevitably be a demand - there have been indications of this in other jurisdictions - that government move in and take over. In saying this I am not attempting to act as an alarmist or to use alarmist tactics, but it is important that we realize what the possibilities are. I have already stressed that I am in favour of free and independent universities, but this belief will not take away the question as to whether our institutions of higher learning can meet the challenge. Only our universities will be able to answer that.⁵¹

As previously noted, in 1966 the Federal government made a policy change replacing direct funding to institutions and students with transfer payments paid directly to the provincial governments at the rate of 50 per cent of all operating costs of post-secondary education incurred by the provinces. As the 1972 Report of the Commission on Post-Secondary Education in Ontario noted:

...the dramatic effect of the new fiscal arrangements after 1966 was quickly to "provincialize" post-secondary education across Canada. It led to the emergence of ten quite separate provincial systems. It implied the removal of the federal presence as a direct agent of national educational and cultural goals, and as a counterpoise to exclusive provincial influence. Aid from the federal government had come from a distance and without much control; aid that now came solely from and through the provincial government aroused fears in the institutions that proximity to the controlling authority threatened powerful supervision...in Ontario...the problematic and changing links between government and post-secondary institutions are being forged mainly within the jurisdiction of the Province.⁵²

Throughout the early 1960s, the Ontario government and the Committee on University Affairs had been subject to pleas from the publicly-funded institutions for a framework for the expansion of graduate programs.⁵³ The growth in graduate studies was financially supported by government;⁵⁴ however, no direction had been provided in shaping graduate program development:

51. William G. Davis, "The Government of Ontario and the Universities of the Province", *Governments and the University*, Toronto: York University, 1966, p. 33.

52. *The Learning Society: Report of the Commission on Post-Secondary Education in Ontario*, op. cit., p. 14.

53. By 1965, fully-developed honours and graduate programs to the Ph.D. level existed in many fields at the University of Toronto, Queen's University, The University of Western Ontario and McMaster University. Institutions at which honours and graduate programs were launched, and some Ph.D. work was available or planned, included Windsor, Waterloo, Ottawa, Guelph, Carleton and York universities. The provincially-supported universities offering only undergraduate programs were Brock, Lakehead, Laurentian and Trent. See J.W.T. Spinks et al., op. cit. pp. 22-23.

54. This included the introduction of a system of Extended Graduate Program Grants to help universities cope with the expansion of graduate programs and the Province of Ontario Graduate Fellowship Program introduced to aid graduate students who wished to pursue a career in post-secondary teaching.

Although the government encouraged and financially supported this expansion, it did not interfere with the actual process. The responsibility for the careful planning of new programs of high quality was left to the universities. University autonomy, which has always been a basic characteristic of the Ontario university system, was respected.⁵⁵

By the mid-1960s, concern over the pattern of development in the graduate sector intensified. The almost inexhaustible demand for higher degree graduates in Ontario and in Canada, the general desire of the universities in Ontario to proceed as quickly as possible to master's programs, and the widespread desire among scientists everywhere to introduce the doctoral degree, created intense competition among universities for funds. Institutions sought to enhance the probability of achieving their individual aspirations in the area of graduate programming. The older institutions argued that the financial, material and human resources required for the expansion of the graduate enterprise in Ontario made it mandatory that graduate work be restricted to a few of the larger universities. The newer institutions responded that they must immediately undertake graduate programming in order to attract the faculty required in high-quality educational institutions and to enhance their institutional prestige.⁵⁶

The Minister of University Affairs argued that greater coordination and planning of the university sector were required, and to achieve it the institutions must relinquish some of their traditional autonomy for the sake of the public interest. He argued:

[Institutional autonomy]...is to be desired only if the universities themselves are able and willing to assume the high degree of responsibility that goes with it.

Such responsibility involves an awareness that the ambitions and desires of a given institution, faculty, or department within a university may have to be tempered by the over-all requirements of society. It demands greater co-operation and coordination among universities than we have ever known before.⁵⁷

Both the universities and the government recognized that, confronted with the dual problems of explosive growth and increasing allocations of public funds, each university planning and carrying out its development in accordance with its own particular needs was no longer practical. The call for coordination and cooperation among the universities to make efficient use of public funds led to the establishment of a provincial commission, which ultimately recommended a framework within which the development of graduate work in Ontario would be cost-efficient, of high quality, and carefully planned.

The Commission to Study the Development of Graduate Programmes in Ontario Universities, 1966 (Spinks Commission)

The Spinks Commission was established in the Fall of 1965 as a result of a joint recommendation from the Committee on University Affairs and the Committee of Presidents of

55. Ontario Council on University Affairs, "The Ontario University System: A Statement of Issues", *Fifth Annual Report 1978-79*, September 1978, p. 32.

56. *Ibid.*, p. 42.

57. Davis, *op. cit.*, p. 32.

the Provincially-assisted Universities of Ontario. Three commissioners⁵⁸ were appointed with the following mandate:

To study matters concerning the quality, need, introduction and expansion of graduate education and research in Ontario and the financial support for these programmes and to make recommendations thereon to the Committee on University Affairs for the information and advice of the Committee.⁵⁹

The Commission recommended that all the provincial universities should move toward fully-developed honours and master's programs in selected central disciplines, but that doctoral programs should be restricted to a smaller list of institutions where adequate funds and facilities were available.⁶⁰ Noting the rapid rise in the cost of graduate training, the Commission stated that it was essential that the Province "equip itself with an authorization procedure for doctoral programs"⁶¹, and recommended that Ontario advance doctoral programs within this planned context as quickly as possible.

The Commission further recommended greater consultation among institutions at the discipline or field level, among graduate deans and librarians, as well as between universities and government, to eliminate unnecessary program duplication and to avoid gaps in program offerings.⁶² The commissioners were not optimistic, however, about the degree of acceptance that this suggestion would enjoy:

It will not be easy to find the right formula for these consultations. At present the provincial universities tend to approach the business of mutual consultation very guardedly, and in a highly competitive frame of mind. They are suspicious that their neighbours may have designs on things they want to do themselves or are doing already. We sympathize with such defensiveness. Where resources have to be shared out in a mood of scarcity, someone must be disappointed and others may be suspected of sharp practice; but we consider such an attitude untenable. If the universities cannot devise a consultative procedure whereby they make sure that their programmes are complementary and do not involve duplication and waste, the job will have to be done by some external agency. In our view the universities should ideally, at all levels we have discussed, do their own planning and rationalization.⁶³

The Commission concluded that the existing system of university governance provided no opportunity for the kind of province-wide agreement required to ensure cooperation and coordination among the universities in graduate studies and research. In the Commission's opinion:

58. The three commissioners appointed were: Gustave O. Arlt, President of the Council of Graduate Schools in the United States; Kenneth Hare, Chairman of the Department of Geography, King's College, University of London; and as Chairman, John W. T. Spinks, President of the University of Saskatchewan.

59. J.W.T. Spinks *et al.*, *op. cit.*, p. iii.

60. *Ibid.*, p. 23.

61. *Ibid.*, p. 24.

62. *Ibid.*, p. 42.

63. *Ibid.*, p. 43.

The most striking characteristic of higher - not only graduate - education in Ontario is the complete absence of a master plan, of an educational policy, and of a co-ordinating authority for the provincially-supported institutions...[The universities] compete with each other for their share of annual appropriations, and the direction and rate of their development is determined not by rational and unified planning but by their individual ingenuity in securing funds. The ultimate - in fact, the only - control is exercised by the Government in its allocation of appropriations.⁶⁴

The Commission recommended "drastic reform of the whole system of governance" involving the creation of a University of Ontario based on the State university model adopted in New York and California.⁶⁵ It was the Commission's intent to have the existing universities surrender only the autonomy which permitted unrestricted competition and "ill-advised expansion". The head of the University of Ontario would be a university president who would preside over a Board of Regents. Internal coordination would be ensured by a comprehensive Academic Senate.⁶⁶ The Commission believed that this would result in an educational establishment far greater than the sum of its parts, able to attain a level of quality none of its individual components could achieve. Its report concluded:

By careful and systematic strengthening of the basic disciplines in all the universities and by developing real centres of excellence in the more specialized and esoteric fields in some or even all of them, without wasteful duplication of facilities and ruinous competition for staff, the University of Ontario can - and no doubt will - become the great prestige institution of which Canada has long dreamed but which it has never attained.⁶⁷

Although the universities and the government rejected the Commission's proposal for a University of Ontario, university presidents recognized action was required to ensure greater coordination in the development of graduate studies. Steps were initiated to achieve system-wide co-operation and coordinated graduate program planning. The undergraduate enterprise remained relatively unplanned beyond the realm of individual institutional decision-making.⁶⁸

Ontario Council on Graduate Studies

Universities responded to the Spinks Commission in 1966 in the area of graduate program planning. The Committee of Presidents of the Universities of Ontario established the Ontario Council on Graduate Studies (OCGS) to advise it on all matters related to graduate studies. Watt (1987) concludes:

64. *Ibid.*, pp. 77-78.

65. *Ibid.*, p.77.

66. *Ibid.*, pp. 80-81.

67. *Ibid.*, p. 82.

68. The rationale for the Government's unregulated approach to undergraduate program development is suggested in the 1971-72 *Biennial Report of the Committee on University Affairs* (Ontario), p. 11, where it is asserted that "There have been no serious suggestions to regulate programs at the undergraduate level. Bachelor's programs, surely, must be a reflection of a university's own character and innovativeness."

Thus OCGS was born in the expectation that the universities could work together harmoniously in the development of graduate studies and by so doing forestall government intervention.⁶⁹

In 1967, the Ontario Council on Graduate Studies introduced the academic quality appraisals process. An Appraisals Committee was created by OCGS to undertake the appraisals. The universities agreed among themselves to submit all new graduate programs to appraisal before they were implemented, and not to implement programs which were unfavourably appraised. The government in turn, decided that it would not fund any new graduate program unless it had received a favourable appraisal from OCGS, linking public support to program quality.

The introduction of an appraisals process was strongly supported by the Committee on University Affairs in its 1967 report:

This system provides the first and perhaps most critical test for a graduate program - academic quality. The structure of the system and the use of external judges seems to provide for the utmost objectivity and fairness.⁷⁰

At the same time, the Committee stressed that a satisfactory appraisal in itself was not sufficient for the approval of new programs and that "[t]ests of need must also be applied."⁷¹ The Committee also identified the need for "effective rationalization of effort and resource allocation" and "more effective communication among the universities and with the Committee on University Affairs".

Too much control, however, was identified as a possible threat to the system and to the principle of autonomy. The Committee cautioned:

In encouraging the development of graduate work in Ontario it is imperative that programs of such cost and importance be of high quality and carefully planned. Rapid but controlled growth, reasonable enough as a concept, presents certain challenges to traditional patterns of interaction and to fundamental notions of university autonomy.⁷²

From conception, OCGS also had a planning mandate:

to advise CPUO on the planning and development of an orderly pattern of graduate education and associated research having regard among other things to the need to avoid unnecessary duplication of programs and facilities...⁷³

In 1968, OCGS introduced the Advisory Committee on Academic Planning (ACAP) to facilitate graduate program planning. In its initial years, ACAP did not undertake any direct planning initiatives. However, steps taken by the government in the early 1970s led to ACAP undertaking system level reports on graduate program disciplines referred to as "planning assessments".

69. L.A.K. Watt, "Graduate Studies and Planning in Ontario - The Role of OCGS: 1967 - 1987", 1987, Unpublished paper, p. 1.

70. Committee on University Affairs, *Report of the Committee on University Affairs 1967*, p. 24.

71. *Ibid.*, p. 25.

72. *Ibid.*, p. 23.

73. L.A.K. Watt, *op. cit.*, citing from the CPUO statutes which established OCGS.

During the early 1970s, graduate enrolment continued to grow in an explosive fashion, raising concern over the rapidly rising associated costs. In 1971, the Ontario government introduced a funding "embargo" on graduate programs to restrict and rationalize further graduate program growth. To circumvent this funding embargo, universities expanded the role of ACAP to include discipline planning assessments that would become part of a provincial development plan which the universities agreed to respect.

These "planning assessments" were to:

address such questions as whether there was a need in the particular discipline for all of the programs that were in place at the time and whether there was sufficient demand for the programs. While ACAP was not charged with assessing academic quality per se, it was expected to identify any programs where the quality of the graduate offering might be suspect and recommend that those programs be submitted for appraisal.⁷⁴

In 1972, the comprehensive funding embargo was reduced to roughly 20 disciplines in which the danger of over-expansion was considered to be acute. In these disciplines, no new programs were permitted except at the "emergent" universities (Brock, Lakehead, Laurentian, Trent, and later Wilfrid Laurier) at the master's level. The "emergent" institutions were permitted new programs in embargoed disciplines provided that they formed part of an approved five-year plan and did not include doctoral programs. This restriction on doctoral program development at "emergent" institutions was not lifted by OCUA until 1989. All other universities were required to submit three-year plans to COU providing the system with advance indication of new graduate program development. Concern had also been expressed about the enrolment sensitivity of the graduate student funding formula. Economic uncertainty engendered by high inflation rates, high unemployment and the world oil crisis had placed a damper on the enthusiasm for public expenditures in Ontario.⁷⁵

Commission on the Relations between Universities and Governments

In 1968, the national Commission on the Relations between Universities and Governments, with Commissioners René Hurtubise, Professor of Law, Université de Montréal, and Donald Rowat, Professor of Political Science, Carleton University, considered how and under what terms and conditions public support should be provided to universities.⁷⁶ The mandate of Commissioners Hurtubise and Rowat was broadly conceived, involving consideration of the distinctive role of universities at the community, provincial, regional, national and international levels; a determination of the need, nature and extent of university autonomy and government and public control of universities; and the recommendation of appropriate instruments by which

74. *Ibid.*, p. 3.

75. Ontario Council on University Affairs, "Advisory Memorandum 75-IV, Graduate Program Planning", *Second Annual Report 1975-76*, p. 27.

76. The Commission on the Relations between Universities and Governments was commissioned by the Canadian Association of University Teachers, the Association of Universities and Colleges of Canada, the Canadian Union of Students (CUS), and Union générale des étudiants du Québec (UGEQ). Funding was provided through a grant from the Ford Foundation.

relations between universities and governments could be established that did justice to their responsibilities.⁷⁷

The Commissioners argued that the university was a social institution that performed special functions for society and that the ultimate judgements about its performance and functions should rest with the larger community. The Commission argued that it was possible for academic freedom to exist, even in the absence of institutional autonomy, as was the case in most European countries. Nonetheless, it indicated its belief that "...substantial institutional autonomy is needed as an instrument for the preservation of academic freedom."⁷⁸ The Commissioners argued, however, that "[t]his acceptance of the need for autonomy does not invalidate the interests of the state."⁷⁹

For Hurtubise and Rowat, the way in which the interests of the state and the responsibilities of the university were reconciled was complicated by the lack of clear aims for universities - both on the part of governments and institutions. Added to this was uncertainty about the purposes public funding for universities should serve. They observed that efforts at voluntary co-operation on the part of universities had been unsuccessful. At the same time, they argued that governments had not provided the necessary framework within which meaningful inter-university co-operation could take place and governmental responsibilities could be borne.

Hurtubise and Rowat concluded that voluntary co-operation among universities had failed because "...a collection of institutions cannot adequately express or safeguard the interests of the state in the sphere of higher education."⁸⁰ It was the view of the Commissioners that:

...the voluntary co-operation of universities has seldom been "voluntary" or even "co-operative". As a rule, whatever co-operation there is has been brought about by pressure from government; practically all "voluntary" co-operative arrangements now in existence derive their efficacy from either a direct or indirect threat of governmental sanctions.⁸¹

Traditions associated with university autonomy were identified as inhibiting anything but superficial inter-institutional co-operation. Co-operation would require individual institutions to give up or at least share some power with others. It was argued that autonomy had made it difficult for institutions to delegate this power, and there was no way to ensure that common decisions would be enforced. Furthermore, the Commission noted that "...the executive head of each institution was bound both by his responsibilities towards "his" institution and by the natural human tendency in such circumstances to defend its interests."⁸²

Hurtubise and Rowat concluded that the only motivation for voluntary co-operation was collective institutional opposition to real or anticipated governmental pressure. As President Dunton, then Chair of the Committee of Presidents of the Provincially-assisted Universities of Ontario (CPPUO), indicated:

77. René Hurtubise and Donald C. Rowat, *The University, Society and Government: The Report of the Commission on the Relations Between Universities and Governments*. Ottawa: The University of Ottawa Press, 1970, p. viii.

78. *Ibid.*, p. 73.

79. *Ibid.*

80. *Ibid.*, p. 85.

81. *Ibid.*, p. 85.

82. *Ibid.*, p. 86.

The universities are trying to develop a central machinery before the government develops its own. This is going to be the race. We are trying to develop among ourselves the research capacity to know what we are doing, which nobody knows at present.⁸³

The Commissioners also noted that:

...there has been a tendency on the part of inter-university bodies to protect the *status quo* - to distrust and oppose governments in their efforts to safeguard the public interest and develop new forms of post-secondary education.⁸⁴

They concluded that:

Universities, like all other human organizations, are selfish, and without sanctions will not co-operate in any but a trivial sense. Since the only agency of society that can supply the necessary sanctions is the government, it must provide the framework within which this co-operation can take place. Nothing will stimulate co-operation so much as a governmental assurance that any desirable co-operative arrangements agreed on will be enforced.⁸⁵

In view of their findings, the Commissioners recommended for provinces with three or more university campuses the establishment of a coordinating and planning commission with a statutory base, a semi-autonomous status and substantial powers. According to the Commissioners, this approach was arrived at based on their study of the Canadian situation, but also on U.S. practices. At that time, the coordinating board model had been adopted in 21 states and was rapidly gaining ascendancy over all other methods of coordination.⁸⁶ The Commissioners recommended that existing university advisory committees and grants commissions be reconstituted. Although their scope would be limited to universities because of their special nature vis-a-vis other forms of post-secondary education, the Commissioners argued that they should have greater powers than existing mechanisms.

The Commissioners argued that there were two primary reasons bodies responsible for the coordination and planning of higher education ought to be established in law: with advisory and executive functions spelled out by statute, greater certainty and better protection would be provided for the university community and for the commission itself. They concluded:

The university community would thus be assured of the limits of the commission's powers, and the commission, by having statutory independence, would be less liable to charges of "being in the government's pocket".⁸⁷

83. *Ibid.*, p. 88, citing President Dunton, *Conference on Higher Education in Industrial Societies*, Boston, 1969, p. 56.

84. *Ibid.*, p. 88.

85. *Ibid.*, p. 88.

86. *Ibid.*, p. 111.

87. *Ibid.*, p. 113

The Commissioners, however, argued that this concept of a university commission would only work if both universities and governments transferred some parts of their traditional authority to the commission. They recommended that the powers of the proposed university commissions be based on their need to plan, co-ordinate and preview proposed programs. The Commissioners concluded that "the inherent stubbornness of established institutions" required the proposed commissions to place a major emphasis on planning and the elaboration of a master plan for universities:

...the inevitable conflicts among the universities themselves and between them and the co-ordinating agency should take place, and be reconciled, at the planning rather than the executive stage. In this later stage, the power of the co-ordinating body should be limited to that of a policeman, a function easily performed if that body controls finances and if the earlier resolution of conflicts has resulted in a consensus among all participants.⁸⁸

The Commissioners argued that a system blueprint would ensure that:

a government will make its decisions within a comprehensive, logical framework rather than on an *ad hoc* basis of political expediency in reaction to pressures of the moment.⁸⁹

The Commissioners also argued to avoid preoccupation with individual university budgets and administration that the executive functions of the new university commissions should be limited mainly to those necessary for developing and enforcing an overall plan.

As envisioned, the new commissions would also have had responsibility for allocating the total sum available for universities. It was recommended that a major portion, in the range of 75% of the total allocation, be distributed based on a general formula with the remainder granted at the discretion of the commission in order to take special circumstances into account and to promote desirable new developments.⁹⁰ Because the executive powers of the proposed coordinating body would be narrow, advisory powers were conceived to be broad, and the favoured approach included a provision obliging the Minister of Education to seek the advice of the commission on university matters.

Finally, the Hurtubise and Rowat Commission advocated that the commissions have maximum memberships of 15 persons, drawn in equal proportions from government, society and the academic community, their own expert staffs, and full-time chairs. Consultation with all universities, faculty and staff representatives on proposals that would affect the system would be a matter of course, all commissions' recommendations and studies would become public, and government would respond publicly to them. In order to preserve the independence, credibility, and role as an intermediary between the universities and the government, it was seen as crucial that universities and university organizations not bypass the commission by going directly to the government.⁹¹

88. *Ibid.*, p. 114.

89. *Ibid.*, p. 118.

90. *Ibid.*, p. 116

91. *Ibid.*, p. 125.

The Board of Directors of the Association of Universities and Colleges Canada, one of the sponsors of the report, issued a statement in September, 1970, roundly condemning the report of the Commission on the Relations between Universities and Governments.⁹²

The Commission to Study the Rationalization of University Research, 1972

In 1972, the report of the Commission to Study the Rationalization of University Research,⁹³ sponsored by the Association of Universities and Colleges of Canada, entitled *Quest for the Optimum: Research Policy in the Universities of Canada*, addressed the issue of unplanned growth of graduate studies and research, and institutional capacity to support or manage such activities adequately. Among other things, the Commission was asked to study:

...how university research undertakings can be planned to serve "without undue duplication" advancement of knowledge and provincial, regional and national development.⁹⁴

The Commission argued that the absence of an institutionally-based approach to graduate studies and research led to the neglect of undergraduate teaching and uncoordinated, low-quality, research. In view of the Commission's assertion that teaching was the first priority of the university, it recommended that universities "recognize and reward faculty members whose priority is teaching and reflective inquiry, removing the premiums in promotion and salary decisions currently placed on frontier research and publication."⁹⁵

It further recommended national coordination and rationalization of library resources and services, and the establishment of a strategy for the rationalization of research. The Commission advocated managing the research function within the context of institutional priorities, and with respect to frontier research, that institutional, provincial and national research priorities should be identified in concert with government, and centres of specialization developed to foster research excellence.⁹⁶

The Commission on Post-Secondary Education in Ontario, 1972 (Wright Commission)

In 1969, a comprehensive study of post-secondary education was initiated by the Ontario government. Between April 1969 and 1972, the Commission on Post-Secondary Education in Ontario (COPSEO), chaired by Douglas T. Wright, then also Chairman of the Committee on University Affairs, undertook "to consider, in the light of present provisions for university and other post-secondary education in Ontario, the pattern necessary to ensure the further effective development of post-secondary education in the province during the period to 1980, and in general terms to 1990, and make recommendations thereon." The scope of this mandate included universities, the community college system established in 1965, and adult and continuing education.

92. Cameron, *op. cit.* citing AUCC, *University Affairs*, vol. xi, no. 9 (November 1970), p. 15.

93. The Commissioners were, Louis-Phillippe Bonneau (Laval University, National Research Council) and J.A. Corry (Queen's University, Canada Council).

94. Louis-Philippe Bonneau and J.A. Corry, *Quest for the Optimum: Research Policy in the Universities of Canada*, Ottawa: AUCC, 1972, vol. 1, p. 4.

95. Cameron, *op. cit.*, p. 334.

96. For the details of these recommendations, see L.P. Bonneau et al., *op. cit.*, Chapter 10: "Rationalisation Within One University"; Chapter 11: "Rationalisation Between Several Universities"; and Chapter 12: "Rationalisation at the National Level."

The Commission⁹⁷ was struck only two years after the discretionary approach to allocating provincial operating grants to universities had been abandoned and the first provincial operating grants formula had been established.⁹⁸ The period 1967-68 to 1972-73 has been characterized as an implementation period where minor refinements were introduced to work out details and contingencies not addressed when the operating grants formula was originally designed. It also involved numerous attempts to initiate major formula funding revisions, particularly with respect to program weights. Participation rates, which had increased rapidly in the late 1960s, levelled off by the end of this period.⁹⁹ Rapid enrolment growth, averaging 14.1% annually, suddenly plummeted to 0.6% in 1972-73. Also at the end of this period, growth in funding per Basic Income Unit, which had initially been higher than the rate of inflation, fell below the rate of inflation.¹⁰⁰

Responsibility for the major policy development through the funding formula had been given to the government's advisory body, CUA, which delegated responsibility for formula development to the joint subcommittee on Finance/Operating Grants. This subcommittee was composed almost entirely of members of the university community, with most CUA members and all CPPUO/Council of Ontario Universities¹⁰¹ members having university links. As noted by Stenton:

The continued delegation of responsibility for the formula to CUA by the government during its years of operation is noteworthy. For most issues pertaining to the formula, the government appeared to defer to university representatives, reflecting what appeared to be a continuing faith in the university community.¹⁰²

Although a stated goal of the introduction of a mathematically-based formula was to preserve institutional autonomy, during this period the government altered the formula in such a way as to facilitate program planning and control new program growth, particularly at the graduate level, and to promote its accessibility policy through the introduction of government fee controls within the formula and gain *de facto* control over university tuition fee policy. It was within this context that the Commission on Post-Secondary Education in Ontario reconsidered the issue of university financing.

In a draft report released by the Commission on Post-Secondary Education in Ontario, late in 1971, it suggested:

...we need a new method of providing the public subsidy to post-secondary education; that this new method must attempt to separate, at source but not

97. The Commissioners numbered 14 persons drawn from universities, colleges, labour, government and the broader public. See *The Learning Society*, Appendix B, p. 215 for "Biographical Sketches of the Commissioners."

98. Details of the shortcomings of the discretionary approach to the university operating grants allocation process are provided in Stenton, *Op. cit.*, pp. 109-110.

99. J. Paul Stenton, *op. cit.*, p. 188.

100. *Ibid.*, p. 190.

101. The Council of Ontario Universities was established in 1971 out of the Committee of Presidents of Universities of Ontario, an organization composed of the Presidents of Ontario universities.

102. *Ibid.*, p. 267.

at the institutional level, instructional costs and other costs including research...¹⁰³

There was no support for this suggestion in the university community and it was not included in the Commission's final recommendations.

The 1971-72 draft report raised a number of other issues concerning the institutional inflexibility of universities, the appropriate organization of government-university relations, system structure and finance. The Commission asserted that:

The time has come for clear definition of the jurisdiction and responsibilities of the various component elements of post-secondary education and their incorporation in appropriate legislation.¹⁰⁴

It proposed that all provincial responsibilities for post-secondary education, including funding, be consolidated in a single department and that a "Senior Advisory Committee" be created to assist the new Minister. Post-secondary institutions would be classified into three categories - universities, colleges and an open sector comprising museums, art galleries and the like, and each would have a separate government-appointed coordinating board with extensive powers.

The Council of Ontario Universities considered the sum of the proposals emanating from the draft report to be "radical and revolutionary".¹⁰⁵ The final report, *The Learning Society*, released early in 1973, although less forceful than the draft report in its call for clarification of government-university roles and responsibilities, contained 126 recommendations including the establishment through legislation of a "Council on University Affairs" that would serve as a "buffer" between the government and universities:

Government and institutions would have to delegate part of their jurisdiction to a third body - the buffer - to be used in accomplishing those tasks that no government body, university, or college can perform, alone or in concert and that would satisfy public authority that system-wide planning and coordination were orderly and effective.¹⁰⁶

In addition, overall coordination and planning was to be undertaken by "a permanent Ontario Committee on Post-Secondary Education". The Commission advocated that:

This important body should have no executive or administrative responsibilities, and should not be part of any other body involved in post-secondary education in Ontario. What the Economic Council of Canada is to economic policy-making nationally, the committee should be to planning on all aspects of post-secondary education provincially. Hence it should be responsible for the uninterrupted scanning and monitoring of educational needs and resources in the province. Through studies, hearings, and publications, it should generate a steady flow of reliable information; it

103. Commission on Post-Secondary Education in Ontario, *Draft Report*, Toronto: Queen's Printer, January 1972, p. 42.

104. *Ibid.*, p. 33

105. Cameron, *op. cit.*, p. 192.

106. Commission on Post-Secondary Education in Ontario, *The Learning Society: Report of the Commission on Post-Secondary Education in Ontario*, Toronto: Queen's Printer, 1972, p. 111.

should isolate problems, suggest criteria for their solution, forecast trends, and identify new challenges. Above all, it should provide a valuable forum for participants in all areas of post-secondary education. Its membership should be small and drawn from government, various lay groups, and institutions.¹⁰⁷

In spite of the additional structures to facilitate system coordination and planning, the Commission envisioned the continuation of a shared role for the universities in this regard. The Commission qualified the government's anticipated involvement in this way:

In advocating the adoption of the buffer model, we recognize a continuing vital role for institutions and their organizations in system-wide planning and coordination. Our educational goals, the interests of good management, and the commanding role of post-secondary education in society suggest the need for its representatives to be centrally involved through a regular consultative process in the making of policies which affect them and in the selection of appointees for the proposed provincial bodies.

The Commission observed that although the Council of Ontario Universities had an important role to play as the voice or advocate of the interests of its members in all things related to post-secondary education, voluntary associations alone had proven themselves inappropriate and incapable of undertaking system-wide coordination and planning on their own. The Commission observed that:

As the universities have tried to discharge these functions [coordination and planning] through the voluntary mechanism of the COU, they have created an increasingly elaborate organizational machinery that is effective only when backed by government sanction.¹⁰⁸

Further to this point, COPSEO reiterated the conclusion of the Commission on the Relations between Universities and Governments that "... practically all "voluntary" co-operative arrangements...derived their efficacy from either direct or indirect threat of government sanction"¹⁰⁹ The Commission was quite clear that, regardless of how much pressure was brought to bear on government by universities for greater autonomy, the universities - through any organization like COU which required the voluntary, unanimous assent of the membership for major decisions - could not realistically be expected under any circumstances to choose perspectives and make decisions that were in basic conflict with the interest of any of their members, even if such decisions might further the development of post-secondary education.¹¹⁰

Although the 1972 report of the Commission on Post-Secondary Education in Ontario had called for the creation of a statutory intermediary body with some executive authority, the Government rejected this notion. It did, however, in May 1974 introduce Bill 68 in the Legislature. This Bill provided for the establishment of a 12-member Ontario Council on University Affairs. The Council was to be "an advisory body" to the Minister and to the Lieutenant Governor in

107. *Ibid.*, p. 115.

108. *Ibid.*, p. 117.

109. *Ibid.*, pp. 117-118, citing *The University, Society and Government, The Report of the Commission on the Relations between Universities and Governments*, Ottawa: the University of Ottawa Press, 1970, p. 85.

110. *Ibid.*, p. 118.

Council. It was not to be a buffer body with executive powers and a statutory base. The proposed Council would have been empowered to make recommendations to the Minister "on any matter that, in the opinion of Council," concerned one or more of the Ontario universities. There was also provision for the Minister or Council to "collect" and "publish" any "such information and statistics as considered necessary or advisable" which caused considerable concern in the university community. The Government quietly abandoned Bill 68 two months later during the second reading, following opposition attacks on the Government's decision to drop the clause providing for information collection and publication. Instead, the Government created an advisory body by Order-in-Council.

The Ontario Council on University Affairs was established in September 1974 with 20 government-appointed members. OCUA does not have a statutory base and has no executive authority. Its role is a purely advisory one. It can not undertake system coordination and planning, except on terms decreed or confirmed by the Minister or consented to by the universities themselves. Prior to 1974, the advisory bodies to the Minister on university matters were more akin to an extension of the Ministry than independent advisory bodies. Having been given responsibility for advising on the public funds to be allocated by the Province for universities, the Ontario Council on University Affairs had a context within which to undertake "arms-length" consultation, and promote coordination and planning to a greater degree than its predecessors.

3.0 System-Level Academic Program Coordination and Planning, 1974-1982

OCUA - Discussion of the University "System" and Institutional Role Differentiation

By 1977, OCUA noted in its *Fourth Annual Report* that the anticipated physical capacity problems resulting from projected enrolment growth were unlikely to transpire. In fact, OCUA noted that actual enrolment likely would fall short of the peak in the lowest forecast it had made for the period from 1978 to 1982-83. Hearings with the universities undertaken by OCUA were concerned with institutional funding requirements and the way in which institutions were planning to "cope with 'the new reality'...[of] three years of financing below the level that we have come to expect".¹¹¹ This "new reality" was brought about by the Government's paper "Towards a Balanced Budget" which was contained in the document "Ontario Budget 1977", introduced in the Legislature by the Treasurer of Ontario that Spring. One of the questions posed to the institutions for the OCUA hearings was:

With restricted funding and declining enrolment upon us, are savings possible by the merging of one institution with another or through the merging of certain specific services such as libraries, computing, campus planning, other administrative support services and even teaching in geographically proximate institutions (or indeed system wide)?¹¹²

In a discussion paper issued in 1978, *The Ontario University System: A Statement of Issues*, OCUA observed that "the universities of Ontario have just passed through a truly remarkable period of growth...".¹¹³ In particular, the Council noted that accessibility to higher education had become a major government objective. The low level of research which characterized Ontario universities post- World War II had evolved to the point where research had

111. Ontario Council on University Affairs, "Text of Letter to Executive Heads Concerning 1978 Briefs to OCUA", *Fourth Annual Report, 1977-78*, October 7, 1977, p. 13.

112. *Ibid.*

113. Ontario Council on University Affairs, "The Ontario University System: A Statement of Issues", *Fifth Annual Report 1978-79*, September 1978, p. 9.

become an "essential element in the role of the Canadian university."¹¹⁴ OCUA observed, however, that universities were entering a period of declining enrolment and resources which required careful management.

In this context, OCUA enunciated explicit goals for the university system in Ontario, noting that:

Council deliberately uses the word "system" in this context because different universities may fulfil different roles to accomplish the total task of the university sector.¹¹⁵

In view of anticipated funding reductions, OCUA assessed the academic implications and concluded that the quality of the undergraduate enterprise could be sustained at an acceptable level. However, the graduate program enterprise, which differed "from other areas of university affairs in that its evolution has been characterized by a degree of control not found elsewhere",¹¹⁶ was given particular attention.

Of concern to OCUA in 1978 was that:

...graduate rationalization and disciplinary evolution have been considered in isolation. Council believes that future rationalization and planned evolution must take into account the interaction between the graduate and undergraduate sectors and the institutional profiles which thus emerge.¹¹⁷

In response to this concern, OCUA promoted the concept of rationalization through institutional role differentiation. Citing its belief that considerable institutional differentiation already existed in Ontario, OCUA went on to state:

Council believes that there remains some scope for increased role differentiation among the universities based on disciplinary emphasis and level and range of instructional offerings.¹¹⁸

OCUA identified four categories of institutions ranging from institutions oriented primarily toward undergraduate arts and science, with few, if any, undergraduate professional programs and no graduate programs, to institutions which offer a broad range of programs at all levels of instruction.¹¹⁹ In setting up the discussion of institutional role differentiation, OCUA stated its belief in the importance "for all concerned to keep a watching brief on the extent to which a balance is maintained between public accountability and institutional autonomy."¹²⁰

114. *Ibid.*

115. *Ibid.*, p. 11.

116. *Ibid.*, p. 31.

117. *Ibid.*, p. 34.

118. *Ibid.*, p. 35.

119. See *Ibid.*, p. 35 for details.

120. *Ibid.*, p. 41.

After consultation with the Ontario universities in the Spring of 1979, the paper *System on the Brink: A Financial Analysis of the Ontario University System 1979* reflected OCUA's position on coordination and planning in an unequivocal fashion:

Council is now, more than ever, convinced that planning in one institution cannot be divorced from planning in the system as a whole. This attitude was reflected in the discussions about the new graduate programs proposed by the universities for 1980-81 and in the Chairman's letter to each Executive Head concerning the Spring hearings for 1980. In that letter, each institution has been asked to identify its role and how it fits into the total system. A shared understanding of the particular role of each institution is, in the long run, the only basis upon which to make responsible program and thus funding decisions.

In line with this concept, Council has accepted the invitation from the Council of Ontario Universities to "assume a broader role in assisting the universities to coordinate their planning." The Spring 1980 hearings will see the beginning of this new involvement.¹²¹

OCUA continued to promote planning and coordination in the areas of graduate and professional programming. In 1980, OCUA indicated that there was a need for system-wide consolidation and rationalization in Ontario. In its position paper *System Rationalization: A Responsibility and An Opportunity*, OCUA stated that such measures were required:

particularly in the context of financial constraint and enrolment decline, to prevent and eliminate undesirable duplication in order to protect existing strong programs, to preserve opportunities for innovation, and to ensure that resources be effectively used and available in areas of need.¹²²

Again, OCUA noted that in the past there had been little attempt to coordinate program development in Ontario based on the assumption that "somehow or other, an acceptable total provincial array of programs would follow automatically from the sum of the plans of each institution."¹²³ OCUA summarized the dilemma as follows:

With many institutions involved in the system it may be that, without any coordinating effort, the outcomes of the independently drawn plans of the individual institutions may not be appropriate from a provincial perspective. Indeed, this is precisely the situation which the university system in Ontario is beginning to face. While there is general agreement that it is desirable to leave as much planning responsibility as possible in the hands of the individual institutions, it is becoming increasingly clear that some degree of coordination and cooperation is necessary.¹²⁴

121. *Ibid.*, "Introduction", p. 9.

122. Ontario Council on University Affairs, "System Rationalization: A Responsibility and An Opportunity", *Seventh Annual Report, 1980-81*, p. 45.

123. *Ibid.*

124. *Ibid.*

OCUA indicated that planning for the future must be based on the following two fundamental premises:

1. that there was a university *system* in Ontario;
2. that there must be a developing recognition by all institutions of the *role of each institution* within the system.

OCUA argued that once roles were established, each institution should act in a manner consistent with that role within the system and base its plans for the future on its existing strengths. New developments should be channelled to meet system needs *where institutional strengths exist*.

At the same time OCUA and the university community were engaged in a discussion on broad issues of system coordination and planning and institutional role differentiation, they were also trying to develop more specific mechanisms for graduate program coordination and planning.

Program Coordination and Planning at the Graduate Level

Shortly after the establishment of OCUA in 1974, it became clear that the anticipated graduate enrolment growth was not materializing and that planning objectives geared to the orderly accommodation of rapid enrolment growth were no longer appropriate. Graduate enrolment levels had stabilized at far below projected levels. Emphasis shifted from restricting and rationalizing growth to protecting the long-term future and quality of the existing array of graduate programs and ensuring that the development of new programs did not occur at the expense of the financial viability of the system. As a result, a three-year funding freeze (1976-1979) was introduced which completely decoupled the funding of graduate programs from enrolment. The "freeze":

served the dual purpose of affording Council the time in which to make a thorough examination of graduate funding, and providing the universities with the opportunity to assess their priorities and plan graduate work, both at the institutional and system-wide level, without the financial pressures of an enrolment-sensitive funding mechanism.¹²⁵

In response to this, the universities, through COU, modified the role of ACAP to ensure planning decisions were based on assessments of quality.¹²⁶ "Planning appraisals" were introduced which combined quality appraisals with planning. The OCGS appraisals committee was required to appraise all graduate programs in a particular discipline. Once the program quality appraisals were completed, ACAP would appoint a consultant who provided a plan for the development of the discipline, based on the outcome of the appraisals. The perceived advantage of this new approach was that planning decisions would be based on assessments of quality. It would ensure that when rationalization occurred and programs were closed, it would be the identifiably weaker programs that would be dismantled. However, this process was deemed too cumbersome, time-consuming and created divisiveness within COU. The "planning appraisals" were discontinued in 1982-1983.

In 1977, in order to acquire information to assist decision-making with respect to future planning, OCUA requested that COU provide macro-indicators for each doctoral program in the province, and developed a quinquennial approach to graduate program planning which would apply to the period 1979-1984. The quinquennial objectives arose out of expectations that the first quinquennium would be a period of consolidation. OCUA also established criteria for screening

125. Ontario Council on University Affairs, "The Ontario University System: A Statement of Issues", *Fifth Annual Report 1978-79*, September 1978, p. 33.

126. See Ontario Council on Graduate Studies, *Graduate Planning in Ontario Universities*, May 1976, pp. 24-30 for a detailed description of the nature of the expanded ACAP role.

new graduate programs during the first quinquennium. Evidence of need, uniqueness, quality and student demand were to be provided to OCUA by ACAP through COU. Once OCUA had the assurance of COU that these four criteria had been met, OCUA took upon itself the responsibility for "balancing fiscal realities against new initiatives" before making a final recommendation to the Minister. For the first time, approval of a program by COU did not automatically imply government funding of a new program.

Although the Minister accepted OCUA's quinquennial objectives and criteria, the proposal for centralized control and government regulation did not receive approval. Indeed, the Minister requested that by the end of the first quinquennium "Council's and the Ministry's involvement in graduate planning should be limited to verifying that new programs have been successfully appraised."¹²⁷

In view of OCUA's interest in institutional role definition, in the Fall of 1979, COU was requested to ensure that "the particular institution could best offer the program and that the program is consistent with the aims, objectives and existing strengths of the institution". COU declined to do this from 1979 to 1981 on the grounds that, as a body representative of the institutions, it was not the appropriate agency to make that assessment. As a result of this stand-off, no new programs were funded for several years.

Discussion of Sectoral Planning, 1980-1982

In response to the Minister's preference for returning responsibility for graduate planning to the universities, OCUA proposed the concept of sectoral planning based on the identification of program strength within institutions. Institutions would be exempt from planning constraints in areas in which they could demonstrate sufficient strength in a program field. The sectoral planning process advocated by OCUA would assist universities to assume and retain authority for program planning.

The objectives of sectoral planning were:

1. To aid in the process of role identification and recognition.
2. To aid in the planning and funding of new graduate programs in the second quinquennium as a "map" for role differentiation.
3. To aid in the rationalization of the system and at the same time preserve institutional autonomy.¹²⁸

The sectoral planning approach proposed by OCUA was based on the development of indicators of institutional strengths derived from the degree of institutional involvement in doctoral level programming.¹²⁹ OCUA envisioned a situation where a different set of criteria could apply

127. Letter from the Minister of Education, Dr. Bette Stephenson, to the Ontario Council on University Affairs, December 19, 1978.

128. *Ibid.*, p. 69.

129. 1) If an institution had at least 7.5% of system FTE doctoral enrolment in a sector, OCUA took this to indicate that the institution had a **major involvement** in that sector at the doctoral level and, therefore, significant provincial resources were being devoted to that sector by that particular institution.

2) If an institution had less than 7.5% of system FTE doctoral enrolment in a sector, OCUA took this to indicate that the institution had a rather more **limited involvement** in that sector. Although enrolment across the whole sector may be limited, that institution may have strengths within one or more disciplines within the sector.

3) If an institution did not offer any doctoral programs within a sector, it was considered to have had **no involvement** in the sector. *Ibid.*, p. 67.

to different program areas for each institution. For example, in sectors where an institution was considered to have major involvement, new programs would need only a quality appraisal in order to receive a funding recommendation. In sectors where an institution did not offer any programs, the institution would not propose the introduction of any programs. In sectors where an institution had limited involvement, any new program would be subject to funding criteria similar to those that existed for new programs.

OCUA noted that, at the time, final authority with respect to the funding of new graduate programs rested with the Minister. It was the Minister's goal, however, that full responsibility for the planning of the graduate enterprise eventually be returned to the system itself, once effective procedures for the assessment of programs were in place.¹³⁰ The Minister stated by letter of March 5, 1980, her desire that "the appraisal/assessment system...be used to replace direct government and OCUA involvement in planning and approving the funding of graduate programs." OCUA indicated:

...Council has made clear its belief that the responsibility for system rationalization and institutional role differentiation, as well as graduate planning, should, if possible, ultimately rest with COU and the universities. Council realizes that these tasks, which are essential to the quality and diversity of the Ontario university system, are tremendously difficult and may prove impossible for a voluntary association of universities to achieve. Council wishes to assist COU, in whatever manner possible, in achieving these goals...¹³¹

...Council would not necessarily take this to mean that Council itself or even the Ministry should then be given the responsibility of coordinating graduate planning. It may well be that some other agency should be created within the system to perform this role.¹³²

Final Report of the COU Special Committee to Review Graduate Planning, 1981

In March 1981, Donald F. Forster, President of the University of Guelph and Chair of the Special Committee to Review Graduate Planning, provided COU with the Committee's *Final Report*. In view of projections that graduate enrolment levels would be relatively stable for the remainder of the 1980s, the Committee proposed a "major reorientation of graduate planning..."¹³³

The Committee recommended a strengthened OCGS appraisals process and the introduction of periodic quality reviews of existing programs; fewer restrictions associated with obtaining funding for new master's programs in central disciplines and doctoral programs in areas of institutional strength. It recommended that COU appoint a Committee on Graduate Planning to "monitor the overall development of graduate studies in the province."¹³⁴ and report to the university community and OCUA thereon. It recommended that OCUA should establish an

130. *Ibid.*, p. 65.

131. *Ibid.*, p. 69.

132. *Ibid.*, p. 66.

133. Council of Ontario Universities, Special Committee to Review Graduate Planning, *Final Report of the Special Committee to Review Graduate Planning*, March 1981, p. 3.

134. *Ibid.*, p. 15.

academic advisory committee to advise it on matters of program funding policy and to apply program funding criteria.¹³⁵

With respect to COU's role in graduate program planning, the Committee observed:

Experience has shown that COU, given its nature, being representative of the institutions, cannot effectively deal with the review of programme proposals according to a set of planning criteria which it has not established itself. In particular, COU should not be expected to deal with the question of role definition of its member institutions. In these matters, COU's role should be restricted to offering general advice to OCUA, which properly has the responsibility to recommend to government with respect to them.¹³⁶

Citing a number of perceived shortcomings in OCUA's sectoral planning proposal, the Special Committee to Review Graduate Planning suggested a modified sectoral approach, noting, however, that: "Much more discussion and reflection is required before a satisfactory solution is apparent."¹³⁷ Due to a fundamental disagreement between the universities and OCUA about how sectoral strength and quality would be defined, in 1982, OCUA decided that a sectoral approach to graduate planning should not be established. OCUA continued to affect graduate program planning on the margin through its response to five-year graduate plans, and the graduate program approval process which evaluated new programs against the criteria of societal need and institutional appropriateness to determine funding eligibility.

In 1982, OCUA established the Academic Advisory Committee with a mandate to provide expert advice in the area of graduate program planning based on OCUA's funding criteria, to monitor COU's quality appraisal system, and to review COU's annual compilation of doctoral program macroindicators. ACAP was disbanded and it was agreed that COU would concentrate on the administration of quality assessments through OCGS. Also in 1982, the OCGS graduate program quality appraisal process was revised to include a 7-year periodic appraisal process.

As Cameron notes:

Universities, holding to hallowed notions of institutional autonomy and academic freedom, had not really accepted the legitimacy of provincial coordination except as superficial rhetoric....yet their own efforts at voluntary coordination, under the banner of "collective autonomy" had, with a few notable exceptions, simply not been up to the task.¹³⁸

In conclusion, system-level program planning at the graduate levels in Ontario continues to be limited to OCUA's evaluation of new programs requiring Ministerial approval for funding eligibility, and the collection of institutional plans for new graduate programs.¹³⁹ The university

135. *Ibid.*, p. 17.

136. *Ibid.*, p. 16.

137. *Ibid.*, p. 14.

138. Cameron, *op. cit.*, p. 123.

139. "Core" undergraduate Arts and Science programs are funded automatically. See Ontario Council on University Affairs, "Advisory Memorandum 82-VII, Undergraduate Program Approvals", *Ninth Annual Report 1982-83*, pp. 98-108.

collectivity, through OCGS, is responsible for system-wide assessments of graduate program quality. Undergraduate program quality assessments are currently the responsibility of individual universities.

Program Coordination and Planning at the Undergraduate Level

In 1980, the COU Committee on Long-Range Planning issued a document entitled *Challenge of Substance: A Report on Undergraduate Programmes in Ontario Universities by the Committee on Long-Range Planning of the Council of Ontario Universities*. The Committee had been created by COU in 1978 "to review system-wide issues and propose plans for dealing with them".¹⁴⁰ The *Report* noted that:

The undergraduate enrolment at Ontario universities is almost eight times the graduate enrolment, a ratio which seems unlikely to change markedly. In spite of those proportions, while graduate programmes have been subjected to a very considerable amount of examination from the point of view of the university system, no such scrutiny of undergraduate programmes has been carried on...

...One reason for considering the undergraduate sector now is the current concern expressed by OCUA that universities develop statements about their individual roles within the system.¹⁴¹

At the heart of the Committee's concern was academic planning at the undergraduate level.

With the termination of the period of expansion, and especially with increasing fiscal constraint and the prospect of declining enrolment, it becomes urgently desirable that there be a conscious effort to bring a degree of coordination into the area of undergraduate programmes. For what now exists is a system of academically autonomous universities, some of which have (or have had) reasonably coherent perceptions of distinctive objectives and roles, but all of which have for some years been obliged to respond to the pressures of competition in ways not necessarily appropriate to those perceptions. Much of the academic programming in Ontario developed through the operation of *laissez-faire*. At the graduate level, that approach was largely abandoned when the mechanisms of appraisal and control were introduced. At the undergraduate level, programming in the arts and sciences, especially for the three-year degrees, still reflects the assumption that the total educational good provided by the separate universities, making curricular and other decisions in the light of their institutional goals and interests, at least equals the educational good that might be provided by the system if it were to proceed as a system. The challenge now forcibly confronting the universities is that of making good the assumption.¹⁴²

140. J. Percy Smith, *op. cit.*, p. 578.

141. Council of Ontario Universities, *Challenge of Substance: A Report on Undergraduate Programmes in Ontario Universities by the Committee on Long-Range Planning of the Council of Ontario Universities*, March 1980, p. 1.

142. *Ibid.*, pp. 16-17.

From the Committee's perspective:

One very great obstacle in the way of such a development [the reasoned ordering of undergraduate programme development in the system] is the enforced competition engendered - intentionally - by enrolment-driven financing, and we believe that COU and OCUA must find a way of removing that obstacle to cooperative planning.¹⁴³

The other major obstacle identified was the structural and functional limitations of COU itself:

...COU has no mechanism by which it [inter-institutional planning and co-operation] could be assured, even if it were agreed upon.¹⁴⁴

The Committee noted that, in 1976, COU approved the report of a Special Committee to Assess University Policies and Plans. One of the recommendations of the Special Committee was that:

COU and the universities should commit themselves to continuing and expanding their efforts in planning and coordination and should receive financial support from government to assist these efforts.¹⁴⁵

It further noted that the Special Committee suggested that "The Council of Deans of Arts and Science could be asked to review opportunities for coordination of undergraduate programs..."¹⁴⁶ In its report, the Committee on Long-Range Planning made it clear that:

So far as we know, no steps whatever were taken to implement those and other recommendations, in spite of COU's formal approval of them; so that three years later, OCUA has felt it necessary to initiate discussion of institutional objectives. As to the state of coordination, we have indicated our view of it in this Report. It may be that at the point at which COU commits itself to action on a system-wide issue, concern for institutional autonomy inhibits virtually every significant coordinated effort. If so, we suggest that the nature and purpose of university autonomy should be very carefully studied.¹⁴⁷

Ultimately, the Committee on Long-Range Planning made the following recommendations:

1. That each Ontario university immediately advise all other universities in the Province of all proposals for new undergraduate programmes now under active consideration at any level of decision-making; and hereafter of any new proposal for an undergraduate programme when it comes under active

143. *Ibid.*, p. 18.

144. *Ibid.*, p. 32.

145. *Ibid.*, p. 33, citing the report of the Special Committee to Assess University Policies and Plans, 1976.

146. *Ibid.*, p. 34, citing the report of the Special Committee to Assess University Policies and Plans, 1976.

147. *Ibid.*, p. 34.

consideration. We suggest that the COU secretariat serve as a clearinghouse for this purpose.

2. That COU establish a standing policy committee on undergraduate programmes....[to] study...the changing needs of the system and the best means of achieving appropriate responses to those needs; the identification of new areas of concern and the encouragement of orderly programme development in relation to them; the facilitation and encouragement of discussion among universities of undergraduate programmes and policies, from the point of view of the system. The Committee should meet regularly and report to COU at least once a year...¹⁴⁸

The third and final recommendation advocated the immediate adoption of the first recommendation and that the balance be treated as an interim statement of COU to be distributed to all deans responsible for undergraduate programs for broad discussion and reaction.¹⁴⁹

COU did not endorse this report. As Smith observed:

The Committee deliberately chose to focus on the principle involved - that individual institutions must be willing to sacrifice some of their autonomy in the interest of promoting the effectiveness of the system as a whole...Whether or not the committee's strategy was at fault, COU simply declined to accept the principle...¹⁵⁰

In the Fall of 1980, OCUA observed with respect to undergraduate program planning, that:

For most of the growth period of the last twenty years, there has been at least at the undergraduate level, little attempt on the part of the university system in Ontario to coordinate program development. There has been a minimum of cooperative planning, on the assumption that, somehow or other, an acceptable total provincial array of programs would follow automatically from the sum of the plans of each institution.¹⁵¹

OCUA's primary contribution to undergraduate program coordination and planning involved recommending new programs to the Minister for funding approval, and the development and implementation of related evaluative criteria. Soon after its establishment in 1974, OCUA was instructed by the Minister to review undergraduate professional programs for funding approval.¹⁵² In 1978, the Minister approved a funding approval process for all diploma and degree programs

148. *Ibid.*, pp. 35-36.

149. *Ibid.*

150. Percy Smith, *op. cit.* p. 578.

151. Ontario Council on University Affairs, "System Rationalization: A Responsibility and An Opportunity", *Seventh Annual Report 1980-81*, September 1980, p. 45.

152. Ontario Council on University Affairs, "Advisory Memorandum 82-VII, Undergraduate Program Approvals", *Ninth Annual Report 1982-83*, p. 99.

offered by Ryerson Polytechnical Institute.¹⁵³ When the Academic Advisory Committee of OCUA was created in January 1982, the review of proposals for new undergraduate professional programs became one of its responsibilities. Also in 1982, OCUA recommended to the Minister that "quasi-professional and special" undergraduate programs require specific funding approval, but that "core" Arts and Science programs be funded automatically at the appropriate formula weight. In view of the 1981 "freeze" on undergraduate program funding, OCUA argued that the process recommended

will provide an adequate check on unnecessary proliferation of programs and undesirable duplication in the universities and will safeguard the public interest in the funding of these programs.¹⁵⁴

In 1989, OCUA introduced a procedure for "cursory" review of new undergraduate programs created by modifying already funded programs¹⁵⁵ and made the Academic Advisory Committee responsible for advising it on the funding eligibility of all undergraduate programs.¹⁵⁶

4.0 A Debate on the Roles of Government and Universities in System Coordination and Planning in Ontario, 1980-1990

Committee on the Future Role of Universities in Ontario, 1981 (Fisher Committee)

As OCUA was discussing program-related system rationalization and sectoral planning with the university community, concerns of the provincial cabinet and university presidents about other system-level issues resulted in the establishment in November 1980 of the Committee on the Future Role of Universities in Ontario. It was chaired by the Deputy Minister of the Ministry of Colleges and Universities, Harry Fisher.¹⁵⁷ Its terms of reference stressed the development of objectives for Ontario universities for the 1980s and the associated funding levels required; modifications to the funding mechanism which would encourage voluntary institutional adjustments and inter-institutional co-operation to meet the objectives; and the development of more clearly defined roles for OCUA, COU and the Ontario government.

In its preliminary report, the Committee concluded that in order to meet the established objectives for the university system as developed by OCUA, significant additional funds were required. As noted by Cameron:

It was quite blunt as to the consequences of a situation where funding levels failed even to match inflation: "the objectives...cannot be met; and quality can be salvaged only through increasingly drastic measures whose outcome

153. Now Ryerson Polytechnic University. See Ontario Council on University Affairs, "Advisory Memorandum 78-IV", *Fifth Annual Report 1978-79*.

154. Ontario Council on University Affairs, "Advisory Memorandum 82-VII, Undergraduate Program Approvals" *Ninth Annual Report 1982-83*, August 13, 1982, p. 104.

155. See Ontario Council on University Affairs, "Advisory Memorandum 89-I, New Undergraduate Quasi-professional, Special and Professional Program Funding", *Sixteenth Annual Report 1989-90*, 1990

156. *Ibid.*, "Advisory Memorandum 89-IX, New Undergraduate Quasi-professional, Special and Professional Program Funding 1990-91", p. 217.

157. Other members of the Committee on the Future Role of Universities in Ontario were: R.J. Butler, G.E. Connell, J.S. Dupré, M.L. Hamilton, G.A. Harrower, A.R. Marchment, M.S. Paikin, M.L. Pilkington, R.P. Riggan, R.L. Watts, B.A. Wilson, W.C. Winegard. Secretary of the Committee - R.L. Cummins, Resource Person - E.J. Monahan.

is a commensurately inaccessible, elite and small Ontario university system".¹⁵⁸

The 30 recommendations released in 1981 were largely tied to the issue of funding levels. With respect to coordination and planning, the Committee dismissed the possibility of the universities managing related processes themselves under the auspices of COU. The Committee noted that as a voluntary association of autonomous institutions, COU "...cannot easily adopt policies that are judged contrary to the interests of any of its members; and if it does adopt such policies, it cannot enforce them."¹⁵⁹ It indicated a preference for a strengthened OCUA which would be responsible for overall coordination and planning.¹⁶⁰ However, if funding levels were highly unfavourable for universities, the Committee warned that:

...it is unlikely than any degree of incremental change, including direct ministerial control, would suffice. At such levels of funding, legislative intervention - whether to effect institutional closure or similar serious measures - could not be avoided.¹⁶¹

The Committee suggested that government-university relations were closely linked with the issue of funding levels, stating: "The more severe the financial constraints, the more likely central intervention becomes."¹⁶² COU's response to this perspective was highly critical:

There is no doubt that the worse the outlook, the harder will be the decisions which must be taken. But it does not necessarily follow that those decisions should be taken centrally. Over the past few years, the universities have adapted, albeit with difficulty, to significant underfunding without central direction. We are not convinced that the outcome is a system of lower quality than might have been achieved through system planning with centralized executive authority.¹⁶³

The majority of universities argued for an autonomous, adaptive and decentralized system. Yet there was the suggestion on the part of some of the institutions that a degree of system planning was necessary. The Fisher Committee indicated that the current roles of government, the institutions, OCUA and COU could be maintained with some modifications.

According to the Committee, the role of government to make basic decisions on matters reflecting public interest and expressing public policy, with advice on policy implications from OCUA and COU, included the following responsibilities:

158. Cameron, *op. cit.*, p. 247, citing the Committee on the Future Role of Universities in Ontario, *The Challenge of the '80s*, March 1981, p. 32.

159. *Ibid.*, p. 247.

160. *The Challenge of the '80s, Preliminary Report of the Committee on the Future Role of Universities in Ontario*, Ontario Ministry of Colleges and Universities, March 1981, p. 44

161. *Ibid.*

162. Ministry of Colleges and Universities, *The Report of the Committee on the Future Role of Universities in Ontario*, 1981, p. 30.

163. *Ibid.*, citing COU, p. 30.

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- establishing general objectives for the publicly-funded universities
- deciding the amounts of public funds to be provided for operating and capital purposes, and the reporting and audit requirements necessary to satisfy government's accountability standards
- determining the number and nature of institutions to be supported
- determining the total number of students to be provided for
- setting general tuition fee guidelines and, as a corollary, the level of public student assistance, and
- establishing government's manpower and research priorities and policies.¹⁶⁴

The Committee argued that the institutions also had a number of specific responsibilities to fulfil if Ontario was to have a "system" of essentially decentralized, academically autonomous institutions:

- ...responsibility for...institutional planning within the framework of...[government] objectives for and the traditional role of the universities...[which] entails the vigorous pursuit of differing roles for the institutions, based on their particular strengths.
- ...continue to make all the critical academic decisions, particularly those involved in who shall teach, what shall be taught, and who shall be taught.
- ...ensure the quality and integrity of their programs whether they are of instruction, research, or community service.¹⁶⁵

Further, the Committee noted that university governing bodies and senior officers must assume increased responsibility for reorienting their institutions to changing societal needs, helping to sharpen institutional roles and work toward establishing differing institutional roles based on particular strengths. The Committee stated that governing bodies must also ensure that systematic reviews of the mission and effectiveness of the institution take place.

With respect to the Ontario Council on University Affairs, the Committee defined for it a "minimum essential role" described as follows:

to advise government from time to time on overall objectives for the university system, to recommend broad policies that will enable universities to meet the objectives, and to monitor the performance of universities in this regard.¹⁶⁶

The Committee recommended that certain aspects of the role of OCUA be modified or given greater emphasis. For example, with respect to program authorization, it was recommended that OCUA's advice be generated with the assistance of an academic advisory body and COU. OCUA would continue to promote the concept of individualized and differing roles for each institution, encouraging institutions to build upon strengths and promote program specialization.

The Committee advocated that the Council of Ontario Universities continue its role of exchanging information and assisting in the formulation of policy and, at the graduate level, make quality control the primary objective of graduate planning. To this end, the Committee recommended that the appraisals process should be strengthened and reviews should be periodic.

164. *Ibid.*, p. 31.

165. *Ibid.*

166. *Ibid.*, p. 32.

Further inter-university co-operation was also identified as something COU should pursue. This would include measures to facilitate faculty and staff transfers, pension portability, and faculty access to research facilities in other institutions.

The Committee concluded in the final report that, even with sufficient funding, although the existing institutions and structures were adequate to manage the coordination and planning of the system, change was necessary. Clearly defined institutional roles, revised allocative practices, and modified roles for OCUA and COU, were changes that were expected to "come through evolution of the system with the aid of the normal consultative mechanisms already in place."¹⁶⁷ However, if funding levels were significantly lower, massive restructuring would be required. Alternative options were listed in the event that the government did not accept specific funding proposals, which included:

- reducing the number of universities
- changing the character of some or all of the universities and limiting their range of activity
- grouping universities in two or more categories with different missions by category.

In the event that sufficient funding was not provided, the Committee predicted: "Ontario would have one comprehensive university..., not more than four full-service universities...[and] four or five special-purpose institutions...Of the remaining institutions, some may have to be closed, and the others...restructured."¹⁶⁸ The Committee recognized that these measures would require significant direct government intervention resulting in legislative changes to the Acts of the institutions in order to restrict the range and level of programs they offered. The Committee believed that, once restructured, a more limited system could function well composed of "basically autonomous institutions operating within clearly defined limits."¹⁶⁹

The Government did not accept the Committee's recommendations. Not long after the submission of the Committee's report in 1981, another public inquiry was established in 1983 as the Commission on the Future Development of the Universities of Ontario.

The Commission on the Future Development of the Universities of Ontario, 1984 (Bovey Commission)

The Commission on the Future Development of the Universities of Ontario, established by the provincial government, was chaired by business executive Edmund Bovey. Challenges facing the universities of Ontario at that time included: slowed economic growth and associated reductions in public funding available for new projects or expansion, increasing demands for specialized research and development, a demand for highly qualified manpower in special areas, a need for faculty renewal in the context of a faculty distribution skewed in favour of aging faculty, and funding arrangements which did not adequately reflect the different functions of the universities.

The Commission was charged with the task of developing a "...plan of action to better enable the universities of Ontario to adjust to changing social and economic conditions without reducing the number of institutions". The Commission was instructed to proceed on the understanding that annual increases in public resources for universities would reflect both a desire to protect "the integrity of universities" and "strengthen their ability to contribute to the intellectual, economic, social and cultural foundations of society", and to balance this against "the

167. *Ibid.*, p. 42.

168. *Ibid.*, p. 247 citing Ontario, *The Report of the Committee on the Future Role of Universities in Ontario*, Toronto: Ministry of Colleges and Universities, 1981, p. 43.

169. *Ibid.*, p. 44.

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Government's policy of fiscal restraint and prudent management of public funds."¹⁷⁰ The Commission was also directed to "consider the need for mechanisms for regulation, coordination and the provision of advice to the Government, and in particular to clarify the role of the Ontario Council on University Affairs in the context of a new and differentiated university structure."¹⁷¹

The review centred around four issues: quality, accessibility, adaptability and balance/differentiation. The Commission made 51 recommendations and provided six appendices that described the workings of a corridor system of enrolment funding, a faculty renewal and adjustment fund, a revised tuition fee schedule, income contingent repayment loan plan, revised capital funding programs, and described Ontario universities' capacity to support research.

Among the recommendations identified as "key to the strategic plan of action presented" were recommendations for enhancing "institutional differentiation by a process of evolution within a competitive context rather than by formal designation and central control."¹⁷² Another was a recommendation for a "differential corridors plan to buffer enrolment variations so as to facilitate greater institutional flexibility", and "a strengthened and reconstituted Ontario Council on University Affairs..."¹⁷³

The Commission noted "the need to reconcile different perceptions and divergent interests among the various members of the university community", but noted that the "over-riding concern must be the importance to the Province of Ontario of a first-rate university system."¹⁷⁴ In its final report, the Commission noted "the marked differentiation and diversity in approaches to undergraduate education, range of professional and graduate programs and research intensity that have developed, particularly within recent years, among Ontario universities."¹⁷⁵ The success of Ontario universities and the "wide measure of public and community support for the work of the universities" observed by the Commission were attributed to the high degree of autonomy they enjoyed:

It is clear that the considerable measure of autonomy which Ontario universities have enjoyed by comparison with publicly funded institutions in most other jurisdictions has been a major factor in their vitality and achievement.¹⁷⁶

170. The Commission on the Future Development of the Universities of Ontario, *Ontario Universities: Options and Futures*, December 1984, "Terms of Reference".

171. *Ibid.*

172. *Ibid.*, p. 1.

173. *Ibid.*, In its June 1984 discussion paper, *Ontario Universities 1984: Issues and Alternatives*, the Bovey Commission asked respondents to choose "the most feasible" among eight alternative mechanisms for regulation, coordination and the provision of advice to the Government. The Commission found "the weight of institutional opinion and Council of Ontario Universities (COU) support" centering on its fourth option:

...an intermediary body which would take the form of a reconstituted and strengthened OCUA, shaping the system primarily by financial incentives and disincentives with an enlarged monitoring function and endowed with some specified regulatory powers to reconcile conflicting institutional aspirations. p. 30.

174. *Ibid.*

175. *Ibid.*, p. 4.

176. *Ibid.*

Yet, the Commission noted that there was "an urgent need for improvement in the arrangements facilitating inter-institutional planning and coordination."¹⁷⁷ The Commission indicated that the "introduction of new approaches to inter-institutional planning and coordination" would be critical to the implementation of the strategic thrusts of their recommendations for the development of Ontario universities during the 1980s and 1990s.

After consultation on and deliberation on a variety of options for regulation and coordination of universities and the provision of advice to the Government on university matters ranging from direct management by the Ministry to a deregulated approach driven by market forces, the Commission recommended an intermediary body which would take the form of a reconstituted and strengthened OCUA, shaping the system primarily by financial incentives and disincentives but with an enlarged monitoring function and endowed with some specified regulatory powers to reconcile conflicting institutional aspirations.

The Commission argued that "current circumstances call for a stronger and clearer mandate and more effective capacity than now exists for overall system planning and coordination."¹⁷⁸ It advocated a "planned capacities and roles" approach whereby system planning processes would begin with institutional initiatives to develop clear and specific statements of role and mission in the areas of teaching and research, as well as to identify in detail the institutional capacity to undertake such functions. It was recognized that some adjustments and reconciliations of individual planning processes would be required to reconcile conflicting institutional aspirations and to satisfy provincial interests. Noting that some adjustments could be effected by consultation between a system-wide planning authority and the individual universities in view of policy guidelines laid down by Government, the Commission recognized that in the event an agreement did not ensue, the intermediary body must have a clear enough mandate and authority to resolve the remaining differences. In the Commission's view, the intermediary body "would for the most part develop system planning at a high level of generality, but in the case of certain professional programs or at the graduate level it would occasionally have to descend to more specific levels of decision making."¹⁷⁹

The terms of reference for such an intermediary body, envisaged by the Commission, was to be established in detail by order-in-council and include the following additions to the responsibilities of OCUA:¹⁸⁰

- a mandate for periodic review and reconciliation of institutional role statements and associated plans for the development of instruction and research in the light of established provincial objectives
- a mandate to ensure appropriate standards of program quality, especially at the graduate level, which involves monitoring the COU system of graduate program appraisals and, if necessary, establishing its own comparative appraisals process and method of reviewing the coherence of graduate programs in each institution
- a mandate to initiate studies related to the long-term development of the university system

177. *Ibid.*

178. *Ibid.*, p. 30.

179. *Ibid.*

180. In effect, advising the Minister on all matters of general policy involving one or more universities, or the system as a whole.

University-Government Relations in Ontario 1945-1995:
A Summary of Selected Initiatives and Recommendations
Related to System Coordination and Planning

- a mandate for an advisory committee structure which can draw heavily on relevant expertise in the universities and elsewhere, including an Academic Advisory Committee, "dealing with programs, and charged with the review of mission statements, of enrolment levels, the monitoring of program evaluation and recommendations on program approvals, and advising on support and appropriate locations for specialized centres and institutes."¹⁸¹
- a mandate for forging appropriate links with business and industry, with secondary education institutions, with community colleges, and with governmental ministries such as those responsible for health and personnel planning.

The Commission urged that in strengthening system planning and in enhancing system differentiation, the intermediary body should intervene in institutional plans only to reconcile conflicting aspirations or where there is a failure to satisfy a clear provincial interest. It was envisaged that coordination would be as much as possible undertaken at the institutional rather than program level. However, in the case of certain professional programs or at the graduate level, it would occasionally have to descend to more specific levels of decision-making. The Commission stated:

...we reject the notion that universities should be formally designated by a central body as to their type, or placed in rigid categories. Emphasis should rather be placed upon a competitive system within which institutions are rewarded for the distinctive functions they perform and the quality of their activities and in addition are provided with the capacity to be flexible and innovative.¹⁸²

Shortly after the report of the Commission was released, a new government was elected. While it initially ignored the bulk of Bovey Commission recommendations, a number of the Commission's ideas were adopted and implemented in subsequent years.

OCUA - Introduction of the Corridor System of University Financing 1986, 1989, 1990

In 1985, the Minister of Colleges and Universities requested that OCUA review the arrangements for distributing formula funding to the Ontario universities for 1987-88 and beyond.¹⁸³ In December 1986, OCUA recommended the establishment of enrolment insensitive funding "corridors". The "corridor" approach developed and later implemented by OCUA was intended to enhance funding stability in order to:

- protect an institution's funding from the impact of the actions of other institutions
- reduce the incentive for institutions to use growth only for the purpose of increasing their share of total operating grants
- provide the opportunity for quality and quantity considerations in academic decisions
- reduce short-term variations in funding which may result from fluctuating enrolment patterns in future years and facilitate medium and long-term planning.¹⁸⁴

181. *Ibid.*, p. 32.

182. *Ibid.*, p. 14.

183. Ontario Council on University Affairs, "Advisory Memorandum 86-VII, Modification of the Operating Grants Formula," Thirteenth Annual Report 1986-87, p. 151.

184. *Ibid.*, p. 157.

The "planning" aspect of the corridor funding system stemmed from the negotiated changes to an institution's base funding levels (Base BIUs, corridor level, Base BOI and Base Grants). This negotiation process could either be triggered by a planned increase or a decrease in enrolment levels. In either case, a specific institutional plan would be required and would be reviewed by OCUA. If OCUA considered the proposed changes to be appropriate, a new level of Base factors and corridor, stemming from an agreed plan, would be recommended to the Minister for approval. OCUA would have responsibility to ensure that changes occurred in a coordinated manner reflecting system-level needs.

Significant and unanticipated enrolment increases, combined with an additional \$84 million accessibility fund provided by government in 1987-88 to fund enrolment growth, led to additional revenue for institutions beyond their corridor entitlements and effectively over-rode the operation of the corridor system.¹⁸⁵ The accommodation of additional students and the generation of revenue associated with them tended to dominate institutional behaviour.

In 1989, the corridor approach was modified to accommodate planned permanent enrolment increases and to permit further enrolment adjustment.¹⁸⁶ The revised corridor system introduced a system of negotiated institutional corridor shifts to accommodate enrolment growth. The mechanism enabled institutions to make strategic changes to enrolment levels in specific programs deemed by the government to be of overriding public importance from an academic or societal point of view. The revised corridor approach to funding universities was more sensitive to societal needs and government policy than its predecessor.

Under the general corridor change approach, institutions had to plan carefully their intended new corridor levels on a sectoral or program basis. Institutions had the opportunity to declare a desired level of corridor increase in each case. All institutions reviewed the other institutions' plans, after which they could modify their proposed new corridor levels downward. Where institutional proposals were in conflict, OCUA required the institutions to attempt to resolve problems of over or under capacity amongst themselves through a process of negotiation. OCUA would intervene as an arbiter only if:

- inter-institutional consensus could not be reached
- institutional plans were inconsistent with system objectives and needs, or
- the sum of individual institutional corridor changes could not be funded at a rate of average Base Operating Income (BOI) per Base BIU (Basic Income Unit) with available funds.

This approach enabled system-level priorities for corridor negotiations to be established. Within this approach, OCUA was not a central planner. It acted as a coordinator of change, ensuring a compatible outcome of individual institutional choices from university system and public policy perspectives. The coordinating role adopted by OCUA was in direct response to Government's stated position that the new approach to funding allocation must promote a coordinated and planned approach to future enrolment growth. In 1989-90, OCUA negotiated with the Ontario university system new corridor funding levels in accordance with specific Government priorities.¹⁸⁷

185. For additional information about the Accessibility Envelope, see Ontario Council on University Affairs, "Advisory Memorandum 87-III, The Ongoing Accessibility Envelope for 1987-88", *Fourteenth Annual Report*, 1987-88.

186. Ontario Council on University Affairs, "Advisory Memorandum 89-II, Modification of the Operating Grants Formula," *Sixteenth Annual Report 1989-90*, p. 89.

187. See Ontario Council on University Affairs, "Advisory Memorandum 90-I, Revisions to Universities' Formula Grants Envelope Corridor Mid-Points as a Result of the 1989-90 Corridor Negotiations," *Seventeenth Annual Report 1990-91*.

The Report of the External Advisor to the Minister of Colleges and Universities on the Future Role and Function of the Ontario Council on University Affairs and its Academic Advisory Committee, John O. Stubbs, July 1988

The Management Board of Cabinet of the Government of Ontario requires government agencies, boards and commissions to undergo a "sunset review" every five years to determine whether these agencies should continue and, if so, whether any of the agencies' functions should be changed. In 1988, the Government's advisory body, the Ontario Council on University Affairs, was subject to a periodic sunset review. John O. Stubbs, then President of Trent University, was selected as external advisor to the Minister on the future role and function of the Council and its Academic Advisory Committee.

Stubbs noted that the role of OCUA since its inception had evolved toward regulatory responsibilities, noting that "[l]imited staff resources, together with the pressures of time and the growing complexity of issues referred to or taken on by Council, have coalesced to restrain severely the "proactive" potential and initiative of OCUA for a number of years."¹⁸⁸

Stubbs concurred with the Bovey Commission's approach to OCUA's role in system coordination and planning:

In calling for system planning and coordination which recognizes the existing diversity of the university system and allows it to flourish by funding incentives and disincentives (rather than by dictated differentiation), the fundamental principles of institutional autonomy and public accountability are reaffirmed.¹⁸⁹

However, Stubbs noted that the new corridor approach to formula funding implemented in 1987 and the increased use of envelope/targeted funding adapted from the financial recommendations of the Bovey Commission were not completely consistent with the role of OCUA because the Bovey Commission's advice concerning a strengthened intermediary body had not been implemented. Stubbs explained:

Put simply, a pre-Bovey OCUA has been called upon (or has sought) to play an advisory and regulatory role in the intricacies of a funding system which, as envisaged by the Bovey Commission, had presupposed a strengthened and clarified mandate for the intermediary body. In the view of a number of universities OCUA currently has neither the mandate nor the resources to play such a role in a timely and effective manner.

Stubbs concluded that OCUA should play "a larger, more formal but still advisory, role in system planning and coordination" achieved primarily through financial incentives and disincentives and not by imposed differentiation. Consistent with the approach advocated by the Bovey Commission, he recommended:

...the process should begin...with individual universities making explicit their role and mission in both teaching and research. Academic planning must clearly remain the responsibility of the individual university but it is understood...that a strengthened OCUA would have ultimately an obligation to ensure that provincial interests and concerns are being met...Offering advice about how the universities, for example, are to cope with the

188. John O. Stubbs, *The Report of the External Advisor to the Minister of Colleges and Universities on the Future Role and Function of the Ontario Council on University Affairs and Its Academic Advisory Committee*, July 1988, p. 3.

189. *Ibid.*, p. 4.

projected substantial growth in enrolment over the next few years makes it imperative that Council have the time and the resources to devote to such a crucial system-wide issue.¹⁹⁰ ...Council should be encouraged to abandon some of its regulatory functions in order to take a more active role in system planning and coordination.¹⁹¹

Stubbs' rationale for recommending that OCUA undertake these responsibilities as an advisory body, and not be given executive authority, was as follows:

...I am reaffirming a basic principle that ultimate political responsibility for the university sector rests with the Minister and the Government. Such a principle also clearly respects university autonomy. This has been the practice for many years and it has produced the strongest and most heterogeneous university system in Canada.¹⁹²

The subsequent Sunset Review of OCUA undertaken by Government in 1994, reflecting on the Stubb's recommendation that OCUA adopt a more pro-active role in the planning and coordination of the university sector, observed that in the interim, 1988-1994:

Essentially, it was left to OCUA itself to determine how to become more pro-active in planning and coordination. The Ministry is satisfied that the council has adopted a more central role in a variety of areas, including: co-ordinating the complex negotiations leading to new enrolment corridors for the universities; developing advice on the establishment of new program quality reviews; co-chairing the University Restructuring Steering Committee; and leading the current resource allocation review requested by the Minister in November 1993.¹⁹³

5.0 Coordination and Planning across the Post-Secondary Sector, 1990-1995

Premier's Council Report - *People and Skills in the New Global Economy*, 1990

In 1990, the Ontario government sponsored a report on human resource issues as a follow-up to the Premier's Council's development of economic strategy which had culminated in the report *Competing in the New Global Economy* released in April 1988.

In *People and Skills in the New Global Economy*, the Premier's Council approached educational opportunities in Ontario as a continuum along which life-long learning occurs, enabling the Province to meet the needs of the new global economy. Universities were reviewed in terms of how they provide the labour force of the future, with particular emphasis on the supply of scientists, engineers and technologists. The "system" perspective adopted in this report included both the college and the university sectors:

...the Council attempted to examine the situation in Ontario's 23 Colleges of Applied Arts and Technology and 16 universities...to determine whether the

190. *Ibid.*, pp. 5-6.

191. *Ibid.*, p. 7.

192. *Ibid.*

193. Ministry of Education and Training, *Sunset Review of the Ontario Council on University Affairs*, September 1994, p. 3.

existing system is adequately prepared and positioned to build a highly skilled labour force that must become one of the hallmarks of the greater value-added economy to which we aspire.¹⁹⁴

The Premier's Council's policy approach focused on the demand from "the traded sectors"¹⁹⁵ for people with advanced education. It noted:

Although universities and colleges serve often distinct functions, they are now facing some very similar demands. Like colleges, universities are increasingly being pressured to provide a more sophisticated general foundation in communications and interpersonal relations, science and technology, teamwork and problem-solving for all students, whatever their discipline.¹⁹⁶

A post-secondary approach to coordination and planning is taken in response to concerns such as post-secondary accessibility and mobility between the college and university sectors. The Premier's Council made specific recommendations with respect to ensuring educational continuity and transferability:

Transferability and continuity across the education system should be ensured through the following measures:

- A coordinating council for transferability and continuity should be established to deal with system issues such as admissions requirements, programs standards, degree requirements and transfer of credits. This council should include representation from schools, colleges, universities, community groups, government and both employers and unions from the private sector....
- Transfer arrangements between the college system and the university system should be established to allow for smooth transition and advanced standing in either direction: college to university or university to college. Program standards and, where needed, transition programs should be developed to facilitate the transfer.¹⁹⁷

In addition, the Premier's Council advocated that the post-secondary sector should strive to offer its students an international education. In particular, it advocated that university and college programs in management, engineering and science attempt to place these studies in an international

194. Premier's Council, *People and Skills in the New Global Economy*, Ontario: Queen's Printer for Ontario, 1990, p. 53.

195. The Premier's Council indicated that "The traded sectors have traditionally involved goods production, and much of what is currently traded still flows from the manufacturing and resource industries. But increasingly, services like finance, education, utilities, transport communications, management consulting, architecture, engineering, accountancy, and tourism are being exported," p. 53.

196. *Ibid.*, p. 68.

197. *Ibid.*, p. 80.

context and that attention to global issues and best practice in other countries be emphasized, mastery of foreign languages should be encouraged and a broader understanding be provided of foreign cultures. The Premier's Council concluded that:

...refocused effort and investment on the part of Ontario's institutions can enhance their role in the development of higher value-added skills and higher-achieving people. Accomplishing this change will require drive and commitment and new levels of cooperation among institutions, industry, government and labour.¹⁹⁸

Vision 2000: A Review of the Mandate of Ontario's Colleges, 1990

A review of the mandate of Ontario community colleges was undertaken by the Ontario Council of Regents of Colleges of Applied Arts and Technology at the behest of the provincial government. The final report, *Vision 2000: Quality and Opportunity*, was the product of research, consultation and debate across the province among those groups who had a stake in the college system: educators from colleges, schools and universities, students, employers, and representatives of labour and government. The report envisioned a future wherein:

in partnership with schools and universities, the colleges are part of an educational system which offers students the widest possible educational horizons...¹⁹⁹

Among the key directions for change identified in the report were college curriculum reorientation toward generic skills, enhanced accessibility, a regularized system of college program quality standards and accreditation reviews, and the facilitation of movement of students between colleges and universities. The latter would involve:

building better links among colleges, schools and universities to facilitate the movement of students between these institutions and to provide better access to more advanced training.²⁰⁰

As envisioned in the *Vision 2000* report, advanced training, defined as education that combines the strong applied focus of college career-oriented programs with a strong foundation of theory and analytical skills normally obtained within university programs, would directly involve universities in formal bilateral agreements with the colleges regarding credit transfer and joint programming. Degrees would be granted by an

"institute without walls" which would "facilitate the development and coordination of college-university arrangements for combined studies; offer combined college-university degree programs, with instruction based at and provided by colleges and universities; ...universities would provide the degrees to graduates of programs conducted under the auspices of the institute."²⁰¹

198. *Ibid.*, p. 81.

199. Ministry of Colleges and Universities, *Vision 2000: Quality and Opportunity : A Summary*, Toronto: Ministry of Colleges and Universities, 1990, p. 21.

200. *Ibid.*, p. 2.

201. *Ibid.*, p. 17.

It was noted that if the university sector demonstrated no interest in this option, then Government should vest degree-granting authority in the institute in itself, playing a role similar to that of the Council for National Academic Awards in the United Kingdom.²⁰²

Commission of Inquiry on Canadian University Education, Report, 1991

In 1991, Stuart L. Smith, at the behest of the Association of Universities and Colleges of Canada, tabled the *Report of the Commission of Inquiry on Canadian University Education*. The mandate of the Commission was

to examine the ability of university education to adapt rapidly to the needs of a Canada that is and will continue to be increasingly dependent on the essential national resource of well-educated citizens.²⁰³

Smith concluded that the Canadian university system was basically healthy, but that institutions were undervaluing their teaching mandate. The majority of the 63 recommendations contained in the *Report* were directed toward internal institutional matters of policy and practice. Recommendations that involved coordination between a number of institutions included the following:

Continuing Education

- In combination with distance education..., the benefits of the expertise at a given university should be made available throughout the country and should constitute the basis for export sales of educational packages.²⁰⁴

Distance Education

- Provincial educational television networks should form a consortium to create a constantly updated series of video presentations, useful both for broadcast and for home study via VCR. The universities involved in distance education should form a similar consortium in order to plan and organize the material for these video presentations. Products would fit into course offerings at several universities and production tasks would be divided among the networks. A fund for that purpose should be created with money coming from both levels of government. Programs designed and produced in this way will be useable in other countries where English or French is spoken. Such export sales would bring both funds and prestige to participating Canadian institutions.²⁰⁵

In the chapter entitled "Co-operation Within Higher Education", the *Report* noted that "credit transfer problems were among the most frequently mentioned of all the issues that

202. *Ibid.*

203. Commission of Inquiry on Canadian University Education, *Report*, Stuart L. Smith, Commissioner, Ottawa: AUCC, September 1991, p. 7.

204. *Ibid.*, p. 82.

205. *Ibid.*, p. 87.

confronted the Commission.²⁰⁶ Particularly noteworthy was the level of concern expressed to the Commission about transferring credits from colleges to universities. Recommended action included:

- the establishment of a National Council on Credit Transfer under the aegis of the Council of Ministers of Education, Canada (CMEC) and the Secretary of State
- an investigation by CMEC into provincial barriers to mobility within professions with an eye to their removal
- universities and nearby community colleges should organize programs, taken simultaneously and equally at the two institutions, and leading to a degree which incorporates a combination of skills development and liberal education. Provincial governments should fund the development and coordinating costs of such programs.
- universities should expand their current efforts to help students at community colleges arrange for meaningful transfer opportunities, leading to degrees that make sense for the individual students and are accomplishable in a minimum time.²⁰⁷

University Restructuring Steering Committee, 1992

In July 1992, the Honourable Richard Allen, Minister of Colleges and Universities, established a University Restructuring Steering Committee composed of stakeholder representatives from across the university community. The mandate of the Steering Committee was to develop recommendations concerning long-term strategies that would assist the university sector to respond to current and future challenges. The challenges identified by the Minister involved making the university sector

responsive to the continuous or lifelong education, training and knowledge needs of a modern economy and democratic society, and ensuring the fullest possible response to the government's equity/access agenda within an environment of constrained public resources.²⁰⁸

The Steering Committee was instructed to identify and prioritize for the Minister the issues it intended to address prior to undertaking further work. In compliance with this request, the Steering Committee established a statement of goals for the Ontario university system and identified six major areas for study, although the majority of the membership did not accept the assurance of limits on public sector funding of the university sector. The goals statement and proposed areas of study were circulated widely, within and outside the university community, for comment.

The six areas of inquiry identified by the Steering Committee were: quality of university education; autonomy, diversity and accountability; cooperation; equity of access and retention;

206. *Ibid.*, p. 113.

207. *Ibid.*, pp. 115-116.

208. University Restructuring Steering Committee, Ministry of Colleges and Universities, *Open Letter to Members of the Ontario University Community and Other Interested Persons*, October 30, 1992, p. 1.

innovation and responsiveness; and funding and cost-effectiveness. Within these areas, a number of the research questions identified clearly related to matters of system planning and coordination. Examples are as follows, by research subject area and research question number:

- II. AUTONOMY, DIVERSITY AND ACCOUNTABILITY
 - 5. What is the appropriate degree of institutional diversity of missions, and roles of Ontario universities?
 - 6. What policies, instruments and practices would most effectively encourage an appropriate degree of institutional diversity of missions and roles?
- III. COOPERATION
 - 10. What policies, instruments and practices would most effectively encourage cooperation within and among Ontario's universities and between universities and colleges?
 - 11. What policies, instruments and practices would most effectively encourage cooperation by Ontario's universities with other educational institutions and programs?
 - 12. What policies, instruments and practices would most effectively encourage cooperation by Ontario's universities with business, labour, the public sector and community groups?
- V. INNOVATION AND RESPONSIVENESS
 - 16. What policies, instruments and practices would most effectively encourage appropriate flexibility, innovation and change in Ontario's universities?
 - 18. What policies, instruments and practices would encourage and enable Ontario's universities to be appropriately responsive to social and economic needs?
- VI. FUNDING AND COST-EFFECTIVENESS
 - 21. What policies, instruments and practices would encourage and increase efficiency and cost-effectiveness in Ontario's universities, encourage cooperative resource-sharing between and among universities, and between and among universities, business, labour, the public sector and community groups, all the while maintaining and enhancing quality?²⁰⁹

The University Restructuring Steering Committee received comments from the university community on its statement of goals for the university system and six proposed areas of study and related research questions in November, 1992. An interim report was submitted to the Minister in early 1993. The University Restructuring Steering Committee is currently inactive. However, under the *University Subsector Social Contract* it is stipulated that, with respect to review of procurement and contracting systems, universities will "participate in a process, under the auspices of the University Restructuring Steering Committee" which will review those systems "to the extent that there may be sector-wide issues".²¹⁰

Task Force on Advanced Training, *No Dead Ends - Report of the Task Force on Advanced Training to the Minister of Education and Training, 1993*

This Task Force, chaired by Walter Pitman, past Director of the Ontario Institute for Studies in Education and past President of Ryerson Polytechnic University, was established as a result of *Vision 2000* recommendations and was composed of representatives of all sectors of the Ontario educational community. The Task Force on Advanced Training was charged with:

209. *Ibid.*, pp. 2-3.

210. Ontario, *University Subsector Social Contract*, July 7, 1993, p. 6.

...identifying the needs of the province for advanced training - as seen from the points of view of student, employee, and employer;...recommending ways of more effective transfer between college and university...determining the need for an expansion of current training opportunities and whether or not this would require a new and special type of education not currently available in this province.²¹¹

In addressing the problem of an under-trained workforce in a technologically-dominated economy, the Task Force put forward a number of recommendations which involved universities. This resulted from the "post-secondary system" perspective Pitman adopted which linked colleges, universities, and business and industry in Ontario in designing opportunities for advanced training. The Task Force's recommendations included that:

- the equal value of vocational and academic education be recognized by all the partners engaged in Ontario's post-secondary system. The Task Force noted that an important first step toward the recognition of the need for integration of Ontario post-secondary education was taken during its tenure - the establishment of a single Ministry of Education and Training which integrated the work of the former ministries of Education, Colleges and Universities, Skills Development, and the Ontario Training and Adjustment Board;
- barriers to inter-sectoral transfer for post-secondary learners be eliminated, and that membership on any body advising on transfer shall include equal representation from the colleges and universities as well as representation from the private sector and learners;
- there was a need for a mechanism to establish policy, guidelines and procedures which would facilitate fair, equitable and consistent transfer arrangements across the post-secondary sectors in a diversity of programs, and that these mechanisms should be at arm's length from government and not tied exclusively to either sector of post-secondary education;
- the current funding arrangements for colleges and universities be adjusted in order to support college-university, university-college transfer agreements and new advanced training programs.

In response to the Pitman report, several actions were taken. On April 21, 1994, the Ministry of Education and Training announced its intention to promote additional college-university collaboration in the development and delivery of advanced training programs through a voluntary consortium representing colleges and universities which would act as a promotional/brokering entity between the college and university sectors. The Ministry financed the development and distribution of a College-University Transfer Guide. Le Conseil de l'éducation et de la formation franco-ontariennes was charged with undertaking an analysis of advanced training opportunities in French.²¹²

211. Task Force on Advanced Training, *No Dead Ends: Report of the Task Force on Advanced Training to the Minister of Education and Training*, Toronto: Ministry of Education and Training, April 30, 1993, pp. 3-4.

212. See Conseil de l'éducation et de la formation franco-ontariennes, *Le projet de la formation avancée en français: Pour un rapprochement entre les collèges, les universités et le monde du travail*, mars 1995.

Council of Ministers of Education, Canada (CMEC), *The National Agenda*, 1994

In September, 1993, Canada's education ministers met in Victoria and announced their commitment to provide national leadership in education. Four priority areas were identified: quality, accountability, mobility and accessibility. Pursuant to the "First National Consultation on Education", held in Montreal and sponsored by CMEC in May 1994, a national education agenda was established. This agenda included:

- the removal of barriers to post secondary education credit transfer
- expanded interprovincial collaboration on curriculum, distance education, and pan-Canadian indicators of education performance.²¹³

In February, 1995, CMEC issued the document *Pan-Canadian Protocol on the Transferability of University Credits* calling on all degree-granting institutions to have implemented measures that will improve credit transfer for the first two years of undergraduate study. The aim of the *Protocol* was

to have all degree-granting institutions in Canada approve, adopt and implement by September 1, 1995, a pan-Canadian protocol providing for the transferability of first- and second-year university courses...²¹⁴

CMEC indicated in the *Protocol* that it wished to reassure universities that:

1. The protocol in no way infringes on the academic autonomy of the university;
2. The protocol applies to transfer students who are deemed admissible by a university. It does not reflect on the policies and practices used by the universities in deciding upon the accessibility of students who apply for admission with advanced standing; and
3. The protocol is consistent with the integrity of university programs and the right of universities to determine program design and delivery, to determine academic prerequisites, and to establish admission criteria and certification requirements of academic achievements.²¹⁵

CMEC has indicated that it is their intention to have Canadian post-secondary institutions implement measures for the recognition of credit transfer for the first two years of undergraduate study and, in addition, CMEC officials have been asked to report in February, 1996, on the "feasibility and timing of implementing credit transfer between colleges, and between colleges and universities."²¹⁶

213. Council of Ministers of Education, Canada, *Press Release*, Charlottetown, September 27, 1994, p. 1.

214. Council of Ministers of Education, Canada, *Pan-Canadian Protocol on the Transferability of University Credits*, February 7, 1995, p. 1.

215. *Ibid.*, p. 4.

216. Council of Ministers of Education, Canada, *Press Release*, Charlottetown, September 27, 1994, p. 1.

OCUA - Resource Allocation Reference

In late November, 1993, the Minister of Education and Training asked the Ontario Council on University Affairs to review the current funding mechanism for universities in the province. In making any recommended revisions to the current funding allocation system, the Minister also asked Council to consider a number of important policy objectives, including enhanced cooperation, rationalization and sharing to increase quality and accessibility to universities.

With respect to matters of "system" coordination, the Minister envisioned an interlocking post-secondary sector. In the letter of reference to OCUA, he stated:

...the universities must be part of an integrated educational system which permits easy movement from one sector to another. This message has been clearly articulated by several reports including Vision 2000 and the Task Force on Advanced Training and is the message government receives regularly through letters and phone calls from the public frustrated by the current system. I believe this is an important direction for the future. Therefore, the funding system must encourage sharing and cooperation among universities, colleges of applied arts and technology and others and not become a barrier to accessibility, adaptation and restructuring.²¹⁷

With respect to the universities specifically, the Minister indicated:

...the depth and breadth of the Ontario university system has been recognized as one of the province's great strengths. However, ways and means will have to be developed to ensure that scarce resources are utilized effectively; accordingly, incentives should be put in place to encourage program cooperation and restructuring. Greater differentiation and increased interdependence have the potential to increase both quality and accessibility to Ontario's universities.²¹⁸

The central issue of this reference is university financing. However, as OCUA noted in its August 1994 discussion paper, *Sustaining Quality in Changing Times, Funding Ontario Universities*,²¹⁹ in a context where there are limited instruments of public policy related to coordination and planning, funding mechanisms define the nature of university-government relations:

University funding allocation mechanisms are an essential element in defining the relationship between universities and governments. Their design both shapes and is shaped by the nature of this relationship. Funding allocation mechanisms are not neutral conduits of grants, but policy instruments which affect the actions of institutions and individuals. In Ontario, the funding

217. Letter from the Honourable Dave Cooke, Minister of Education and Training, to Professor Joy Cohnstaedt, Chair, Ontario Council on University Affairs, November 24, 1993, pp. 2-3.

218. *Ibid.*, p. 3.

219. Ontario Council on University Affairs, *Sustaining Quality in Changing Times, Funding Ontario Universities: A Discussion Paper*, August 1994. This paper formed the basis for a series of public meetings with the Ontario universities, the university community and community groups held during the Fall of 1994 concerning possible modifications to the university funding mechanism.

allocation mechanism is the most significant instrument of provincial Government policy.²²⁰

OCUA is expected to provide advice to the Minister concerning a funding allocation mechanism in the Spring of 1995.

6.0 Conclusion

The balance between system coordination and planning and an appropriate degree of institutional autonomy has been a point of discussion by both governments and universities throughout the past 50 years. During this time, there have been an array of policies, instruments and practices recommended by successive bodies to facilitate greater coordination and planning. Nevertheless, there has been reluctance to become too involved with coordination and planning of the university sector.

220. *Ibid.*, p. 49.

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University-Government Relations in Ontario 1945-1995:
A Summary of Selected Initiatives and Recommendations
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OCUA Public Meetings 1994-95

OCUA Public Meetings 1994-95

Date	Location
September 27, 1994	North Bay
September 28, 1994	Sudbury
September 29, 1994	Thunder Bay
October 6-7, 1994	Toronto
October 11, 1994	Hamilton and St. Catharines
October 12, 1994	Kitchener-Waterloo
October 13, 1994	Guelph
October 20, 1994	Kingston
October 21, 1994	Peterborough
October 26-27, 1994	Ottawa
November 1, 1994	London
October 2, 1994	London and Windsor
October 3, 1994	Windsor
November 7-8-9, 1994	Toronto

**GOVERNMENT RESPONSES TO
OCUA RECOMMENDATIONS
1994-95**



Ministry
of Education
and Training

Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

June 23, 1994

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor, 700 Bay Street
Toronto, Ontario
M2H 2T8

Dear Professor Cohnstaedt:

I would like to thank you and the members of council for the advice presented in Advisory Memorandum 94-I, "The Allocation of Government's Operating Support for the University System in 1994-95".

I appreciate all the work that council and staff have put into preparing the allocative advice, and I understand that the choices which had to be made as a result of our continued fiscal constraints cannot please all stakeholders. Your efforts to find a balanced approach, in consultation with the stakeholders, are acknowledged.

I am pleased to accept the recommendations put forward by council, as reflected in your memorandum of May 4, 1994, with respect to the amount allocated to each of the funding envelopes and the distribution of the funds among universities within each of the envelopes.

Accordingly, for fiscal 1994-95:

- The differentiation grant for Trent University will be \$1,629,000.
- The Northern Ontario Operations Grants will total \$7,771,000 and the Northern Ontario Mission Grants will be \$2,732,000, both allocated as recommended. Project plans will be requested of the northern institutions prior to the funds being flowed under the Northern Ontario Mission Grants.
- The regular bilingualism grants will total \$23.630 million, allocated as recommended, according to the incidence of incremental bilingualism costs as identified in Advisory Memorandum 89-III.

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- An extraordinary grant of \$653,000 will be provided to Algoma College for 1994-95. I understand that OCUA's advice on the manner in which this extraordinary grant can be phased out will be forthcoming shortly.
- The Research Overheads/Infrastructure Envelope will total \$27.839 million, distributed according to each institution's share of federal granting councils' peer-adjudicated research grants for 1990-91, 1991-92 and 1992-93; allocated as recommended.
- 1,000 International Graduate Student waivers will be awarded, at a rate of \$5,326 per waiver, for a total of \$5,326,000, allocated as recommended. Rather than review the graduate student waiver program in isolation, I would prefer to leave this program for the time being.
- Access for Students with Disabilities will be funded with \$4,892,000 in total and will be distributed based on a three-year moving-average of total eligible Full-time Equivalent students, slipped one year, with a floor provision of \$60,000 for Hearst College and Dominican College and a floor of \$90,000 for other provincially-assisted university-level institutions.
- Corridor shift funding (transition to new corridor levels) in the amount of \$169.112 million will be distributed according to the method described.
- The basic grants envelope will total \$1,530.825 million excluding a \$500,000 contingency reserve, with the preliminary distribution being made according to the advice presented.

Thank you again. I look forward to receiving advice on the Algoma extraordinary grant shortly, and on the resource allocation review in the fall.

Sincerely,



Dave Cooke
Minister
M.P.P., Windsor-Riverside



Ministry
of Education
and Training

Ministère
de l'Éducation
et de la Formation

Mowat Block
Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

June 2, 1995

Professor Joy Constaedt
Chair
Ontario Council on University Affairs
7th Floor
700 Bay Street
Toronto, Ontario
M5G 1Z6

Dear Professor Constaedt:

Thank you for your letter of September 30, 1994 transmitting OCUA Advisory Memorandum 94-11, "Graduate Bursary Program Advice". I apologize for the delay in responding.

The Council has reported that since the issue of a graduate student bursary first came under discussion several new equity-related support initiatives have been established. I would agree that the addition of another new bursary before we have had time to fully implement and analyze current initiatives may not be appropriate. I therefore accept the Council's advice (OCUA 94-11) "That no new Bursary Program to improve access for underrepresented groups at the graduate level be created at this time".

The Council's second recommendation (OCUA 94-12) was "That a research project of two parts be undertaken:

[1] that quantitative data on underrepresented groups be collected at the time of registration and graduation; and

[2] that research based on a quantitative methodology (e.g., focus groups) be undertaken to examine the services provided, to identify barriers, to make recommendations on improvements and to suggest means of overcoming the barriers facing underrepresented groups".

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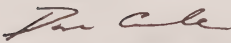
I am pleased to report that a data collection exercise of this nature is already underway in the ministry, in collaboration with the Council of Ontario Universities. The Equity Data Collection exercise while not originally intended to address OCUA 94-12-1 above — will do so through the collection of data from all university applicants at the time of application, admission, and eventually graduation. The Ontario Human Rights Commission has given us permission to collect this (voluntary - self identification) information from applicants because it is intended for the purpose of identifying barriers to access and developing programs to meet the needs of specifically underrepresented groups (as 94-12-2 recommends).

The collection of this data from all applicants to Ontario universities is a very difficult task and initial response rates are quite low. There has been considerable opposition to this type of voluntary self-identification. However, through further improvements in the survey document and further public education we anticipate increased response rates and useful data for purposes of identifying barriers and developing programs.

I am confident that Equity data collection exercise will eventually address the recommendations contained in OCUA 94-12-1. Further plans for research and analysis of the data will be developed once we are confident that the response rate is statistically significant.

Please extend my appreciation to the members and staff of Council for their work on this advice.

Sincerely,



Dave Cooke
Minister



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Ministère
de l'Éducation
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Queen's Park
Toronto, Ontario
M7A 1L2
Telephone (416) 325-2600
Facsimile (416) 325-2608

Édifice Mowat
Queen's Park
Toronto (Ontario)
M7A 1L2
Téléphone (416) 325-2600
Télécopieur (416) 325-2608

Minister

Ministre

May 29, 1995

Professor Joy Cohnstaedt
Chair
Ontario Council on University Affairs
7th Floor, 700 Bay Street
Toronto, Ontario
M2H 2T8

Dear Professor Cohnstaedt:

I would like to thank you and the members of council for the advice received on April 21, 1995 in Advisory Memorandum 94-III, "The Allocation of Government's Operating Support for the University System in 1995-96".

I appreciate all the work that council and staff have put into preparing the allocative advice. Your efforts to find a balanced approach, in consultation with the stakeholders, are acknowledged.

I am pleased to accept the recommendations put forward by council, as reflected in your memorandum, with respect to the amount allocated to each of the funding envelopes and the distribution of the funds among universities within each of the envelopes.

Accordingly, for fiscal 1995-96:

- The differentiation grant for Trent University will be \$1,608,000.
- The Northern Ontario Operations Grants will total \$7,670,000 and the Northern Ontario Mission Grants will be \$2,696,000, both allocated as recommended. Project plans will be requested of the northern institutions prior to the funds being flowed under the Northern Ontario Mission Grants.
- The regular bilingualism grants will total \$23.323 million, allocated as recommended, according to the incidence of incremental bilingualism costs as identified in Advisory Memorandum 89-III.

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